

**DRAFT**

**Army Acquisition  
Task Listing**



**10 June 2001**

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## **EXECUTIVE SUMMARY OF Army Acquisition Task Listing**

This document is not authoritative in nature. This document is not intended to be a basis for policy or a reference for any acquisition actions. All tasks listed are derived primarily from DoDD 5000.1 and DoDI 5000.2. This document does include tasks derived from various source documents including documents and posters obtained from the Defense System Management College (DSMC) and the Army Force Management College (AFMC), both located at Ft. Belvoir, VA. Additionally, descriptions and definitions are copied from document searches using the Defense Acquisition Deskbook (DAD) at <http://web2.deskbook.osd.mil/default.asp>.

**Background:** The Assistant Secretary of the Army, Acquisition Logistics and Technology (ASA(ALT)) recognized a need to capture, publish and distribute acquisition lessons learned. On 16 October 2000, an Acquisition Bell was authorized and supported within the Center for Army Lessons Learned (CALL) located at Ft. Leavenworth Kansas.

DoDD 5000.1, *The Defense Acquisition System*, 23 Oct 2000, with Change 1, dtd. 4 Jan 2001 states in para 4.5.5... *decision-makers at all levels shall encourage and facilitate the documentation and institutionalization of lessons learned – both good and bad - from past experience. Proper incentives must be in place to encourage a culture friendly to the documentation of valuable lessons learned and the sharing of knowledge. The objective is a learning culture that embraces change and continuously adapts to new challenges.*

This document is intended as the basis for categorizing; indexing; and retrieving Army Acquisition lessons learned for publishing and distribution to the acquisition community. This task listing does not list every task in the acquisition process, how to, or who will accomplish the tasks; it simply allows the task to be identified in terms common to all users.

While the importance of this task listing providing a common language and terminology cannot be overemphasized, it is recognized that this initial version is only a starting point. This list will be updated annually with inputs from users in the field and updated regulatory documents. This task listing is not perfect, nor is it ever expected to be. It is however, the departure point for collecting Army Acquisition Lessons Learned for future generations to use as they see fit.

Proponency for the Army Acquisition Task Listing are the AAESA representatives located at Ft. Leavenworth, Kansas.

If you have comments, corrections or suggestions on how to improve this document, contact the AAC representatives at:

Email: [CALL@leavenworth.army.mil](mailto:CALL@leavenworth.army.mil) (Place AAC Branch in subject line)  
Phone COMM (913) 684-9582 DSN 552-9582 FAX 552-9583

## **Acquisition Process Description from DoD Regulation 5000.2-R**

Acquisition of a system is a process that begins with the identification of a need; encompasses the activities of design, test, manufacture, operations and support; may involve modifications; and ends with the disposal/recycling/demilitarization of that system. Upgrade (or modification) programs also follow the acquisition life cycle that includes the activities of design, test, manufacture, installation and checkout, and operations and support. The primary objective of defense acquisition, stated in DoDD 5000.1, is to acquire quality products that satisfy the needs of the operational user with measurable improvements to mission accomplishment, in a timely manner, at a fair and reasonable price. Several important themes, promoted in the latest versions of these acquisition documents and in ongoing Acquisition Reform efforts, are teamwork, tailoring, empowerment, cost as an independent variable (CAIV), commercial products, and best practices. Additional goals imposed on the DoD acquisition process include political, ethical, and economic goals. To implement these varied themes and goals, many unique requirements, laws, and regulations are imposed on defense acquisition that still burden program managers in pursuing the efficiencies inherent in pure commercial acquisition practice. DoD components shall first try to satisfy mission needs through nonmaterial solutions, such as changes in doctrine or tactics. If this will not provide the most cost-effective solution over the system's life cycle, the use or modification of systems or equipment that the component already owns is generally more cost effective than acquiring new materiel. If existing U.S. military systems or other on-hand materiel cannot be economically used or modified to meet the operational requirement, an acquisition program may be justified.

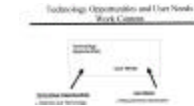
The Defense Systems Acquisition Management Process is structured by DoD Regulation 5000.2-R into discrete, logical phases separated by major decision points (called milestones) to provide the basis for comprehensive management and progressive decision making. The number of phases and decision points shall be tailored to meet the specific needs of individual programs. The documents applicable to a particular program at a specific milestone shall be determined individually for each program through the IPT process and approved by the Milestone Decision Authority (MDA).

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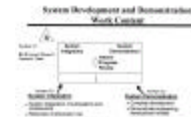
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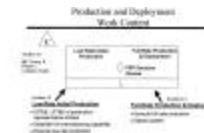
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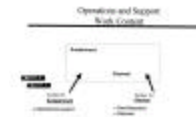
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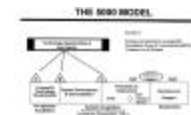
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## Section 1 : Technology Opportunities and User Needs

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### AC 1 Technology Opportunities & User Needs

This category covers actions under the responsibility of Commander, TRADOC. This includes but is not limited to branch schools, TISMs and BattleLab actions from conception to identification of requirements/capabilities that are needed but yet do not exist.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A



#### AC 1.1 (Requirements) Process Input Data

Process Input Data Catalyst events that project "good ideas" from discussions into a solution to meet a specific mission/capability void caused by changing environments such as threat assessments; war fighting vision; doctrine or any other influencing factor.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99; CJCSI 3170.01A, Requirements Generation System

**Special Note:** N/A

##### AC 1.1.1 (Requirements) Determine Future War fighting Vision

The TRADOC Commander develops the Army's future warfighting vision. It is a holistic description of desired Army capabilities as seen during a commander's recon from a "mountaintop" in the distant future. Because of the lack of a clearly defined adversary, warfighting experience and the national security and military strategies are most influential to vision development, with science and technology opportunities providing a frame of reference.

Determine Future War fighting Vision USCINACOM is designated the Executive Agent for conducting joint warfighting experimentation. USCINACOM is responsible to the CJCS for creating and refining future Joint Warfighting Concepts and integration of Service efforts in support of JV2010 and future CJCS Joint Warfighting Visions. USCINACOM will conduct joint experimentation to explore, demonstrate, and evaluate joint warfighting concepts. Experimentation will identify the breakthrough warfighting capabilities necessary to achieve JV2010 and future visions.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99;

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### AC 1.1.2 (Requirements) Validate Concepts of Operations, Interoperability

Validate Concepts of Operations Interoperability is the ability of systems, units, or forces to provide data, information, materiel, and services to and accept the same from other systems, units, or forces, and to use the data, information, materiel, and services so exchanged to enable them to operate effectively together. Interoperability within and among United States forces and U.S. coalition partners is a key goal that must be satisfactorily addressed for all Defense systems so that the Department of Defense has the ability to conduct joint and combined operations successfully. The use of standardized data shall be considered to facilitate interoperability and information sharing. The Department of Defense must have a framework for assessing the interrelationships among and interactions between U.S., Allied, and coalition systems. Mission area focused, integrated architectures shall be used to characterize these interrelationships. This end-to-end approach focuses on mission outcomes and provides further understanding of the full range of interoperability issues attendant to decisions regarding a single program or system.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99; CJCSI 6212.01B; Interoperability and Supportability of National Security Systems, and Information Technology Systems; 8 May 00

**Special Note:** N/A

### AC 1.1.3 (Requirements) Determine Future Ops Capabilities

The Defense Acquisition System shall emphasize acquisition judgment based on consideration of a relevant family-of-systems, including those that cross Component organizational boundaries. To that end, the requirements community shall specify key performance parameters and the acquisition and test and evaluation communities shall adopt a family-of-systems management approach to ensure that their reviews of individual systems include a thorough understanding of critical system interfaces related to the system under review and the flow of consistent and reliable data, information, and services among systems in the battlefield. The objective is an environment characterized by mutual understanding of key systems in a given mission area; shared decision making and close cooperation between the requirements, test and evaluation, and acquisition communities; and disciplined control over the development and introduction of acceptable interoperable systems.

Determine Future Ops Capabilities Key Performance Parameters (KPPs). Those capabilities or characteristics considered most essential for successful mission accomplishment. Failure to meet an ORD KPP threshold can be cause for the concept or system selection to be reevaluated or the program to be reassessed or terminated. Failure to meet a CRD KPP threshold can be cause for the family-of-systems or system-of-systems concept to be reassessed or the contributions of the individual systems to be reassessed. KPPs are validated by the JROC. ORD KPPs are included in the APB.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 6); DoDD 5000.1, 23 Oct 2000 (para4.1.2)

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### AC 1.1.4 (Research) Funds Management/ Programming (BA Type -6.1/6.2)

Type 6.1 Basic Research includes all scientific study and experimentation efforts directed toward increasing knowledge and understanding in those fields of the physical, engineering, environmental, and life sciences related to long-term national security needs. Type 6.2 Applied Research includes all military applicability studies and experimentation efforts directed toward nonspecific weapon systems.

**Requirement Source:** Program Budget and Accounting System (PBAS)

**Special Note:** N/A

### AC 1.2 (Requirements) S & T Research

S & T Research (6.1; 6.2) Science and Technology is where technological developments are transitioned into operational forces. It is used to demonstrate new and emerging technologies that have a direct application to military systems. Science and Technology is intended to be implemented into future military systems to support military needs, solve military problems, and provide a sound basis for acquisition decisions. Experiments shall be used to develop and assess concept-based hypotheses to identify and recommend the best value-added solutions for changes to doctrine, organizational structure, training and education, materiel, leadership, and people required to achieve significant advances in future joint operational capabilities.

DoDD 5000.1 para 4.2.1. -- The Fundamental Role of the DoD Science and Technology (S&T) Program

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 7); DoDD 5000.1, Operation of the Defense Acquisition System, (Including Change 1), 4 Jan 2001

**Special Note:** N/A

#### AC 1.2.1 (Requirements) Warfighting Experiments and Technology Demonstrations

Advanced Technology Demonstrations, Joint Warfighting Experiments, Advanced Concept and Technology Demonstrations, Concept Exploration are efforts that occur prior to acquisition program initiation. Component Advanced Development projects may occur before or after acquisition program initiation. If they occur after program initiation, they will be acquisition programs. The USD(AT&L) shall be the MDA for those projects that, if successful, will likely result in an MDAP. The ASD(C3I) shall be the MDA for those projects that, if successful, will result in a MAIS.

War fighting Experiments Warfighting Rapid Acquisition Program (WRAP). All HQDA staff, staff agencies, MACOMs, and MATDEVs will participate and support WRAP, as appropriate. WRAP is directed at accelerating procurement of systems identified through TRADOC warfighting experiments (AWEs), concept evaluation programs (CEPs), advanced technology demonstrations (ATDs), advanced concept technology demonstrations (ACTDs), and similar experiments where a TRADOC ICT supported by a TRADOC battle lab are directly involved. The review forum used to review these systems is the WRAP ASARC. (See Para 4-3 and AR 71-9).

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 8); DoDD 5000.1, Operation of the Defense Acquisition System, (Including Change 1), 4 Jan 2001

**Special Note:** N/A



## Section 1 : Technology Opportunities and User Needs

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### AC 1.2.2 (Requirements) Studies and Analyses

It is important to understand a parallel effort that occasionally supersedes all other requirement determination activities. Contemporary operational issues -- warfighting needs of soldiers and units engaged in real operations somewhere in the world -- take precedence over future requirements. These issues are addressed by a microcosm of the larger requirements determination process, with some of the same teams that are involved with future requirements quickly refocused to address the contemporary issues.

Commanders in the field identify critical operational needs -- ones that jeopardize soldiers' lives or a unit's ability to accomplish assigned missions -- and forward them to DA DCSOPS via an operational need statement (ONS) in the most expeditious manner possible.

The DA DCSOPS reviews the ONS and determines the appropriate response. Materiel needs that already have approved requirements documents or require urgent, out of system reaction to preserve life will be forwarded directly to the materiel development community. TRADOC will be informed of such actions and will assist resolution of the need by all possible means. Need requests not deemed urgent by DA DCSOPS will be forwarded to TRADOC for routine action.

Clearly, work on contemporary operational issues impacts requirements determination. Contemporary operational issues have the highest priority for already scarce resources and divert attention away from future needs. More importantly, contemporary operational issues modify our current capabilities, affecting the amount of change needed to achieve desired future operational capabilities. Our challenge is to address the most critical issues with all possible means and speed but not become sidetracked by unimportant special interest projects.

**Contemporary Operational Issues** The Defense Acquisition System shall emphasize acquisition judgment based on consideration of a relevant family-of-systems, including those that cross Component organizational boundaries. To that end, the requirements community shall specify key performance parameters and the acquisition and test and evaluation communities shall adopt a family-of-systems management approach to ensure that their reviews of individual systems include a thorough understanding of critical system interfaces related to the system under review and the flow of consistent and reliable data, information, and services among systems in the battlefield. The objective is an environment characterized by mutual understanding of key systems in a given mission area; shared decision making and close cooperation between the requirements, test and evaluation, and acquisition communities; and disciplined control over the development and introduction of acceptable interoperable systems.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 9)

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### **AC 1.2.3 (Requirements) Identify Desired Capabilities Operational Requirements(Documenting Requirements)**

The ORD is a formatted document containing operational performance requirements for a proposed concept or system. The system proposed for continued evaluation in later acquisition phases shall be described in an initial ORD in terms that define the system capabilities needed to satisfy the mission need. The requirements, stated as operational performance parameters in the initial ORD, shall be tailored to the system (e.g., satellite, aircraft, ship, missile, or weapon) and reflect system-level performance capabilities such as range, probability of kill, platform survivability, and the timing of the need, etc.

Identify Desired Capabilities Operational Requirements. A system capability or characteristic required to accomplish approved mission needs. Operational (including supportability) requirements are typically performance parameters, but they may also be derived from cost and schedule. For each parameter, an objective and threshold value must also be established

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 10); CJCSI 3170.01A, Requirements Generation System, 10 Aug 99

**Special Note:** N/A

### **AC 1.3 (Requirements) Integrated Concept Team (ICT)**

Buy better products faster, at reasonable prices with affordable ownership costs. Leaders must create visions, empower people, measure progress and remove barriers to achieve systematic, continuous improvements to support Army Force XXI. Integrated Product Teams (IPT) and Integrated Concept Teams (ICT) are an integral part of the defense acquisition process and will be used throughout the acquisition process.

Integrated Concept Team (ICT) This approach documents Army goals for the science and technology community. This is accomplished under a TRADOC-led Integrated Concept Team (ICT) with support from the appropriate technology (propulsion, survivability, sensor, etc.) focused IPT. Formation of the ICT in early concept development enables the team to transition to a product focused IPT when the materiel requirement is approved. A standing IPT should be formed for each technology area. The technology focused IPT compares and analyzes the future operational capabilities. Also, the IPT considers life cycle issues for the technologies being evaluated. Close coordination takes place between the ICT and technology focused IPT through shared membership. The ICT membership typically includes representatives from TRADOC (Battle LABS/schools), academia, industry, and appropriate Major Army Commands (MACOM).

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 4); AR 70-1, Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### AC 1.3.1 (Requirements) Market Research

Market Research activities play a critical role in requirements definition, leading to potential design alternatives. During the requirements definition stage of an acquisition, market research can help to identify possible alternatives for satisfying mission needs. With a needs statement described in terms of essential performance and functional characteristics, the marketplace can be explored to determine whether sources exist that can meet them. This type of market research will also identify industry capability in terms of current and emerging technologies as well as manufacturers' processes, production methods and controls - results that can make a valuable contribution to the final design requirements. 10 USC 2377 requires the conduct of market research before developing new specifications for a procurement.

**Requirement Source:** 10USC-2377 (ref(jj)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 1.3.2 (Requirements) Models and Simulations (M&S) Requirements Integration and Approval Process

TRADOC PAM 71-9: The responsibility of TRADOC to approve all warfighting requirements extends to all M&S requirements across the live, virtual, and constructive simulation environments. This chapter documents the unique process for documentation, submission, and approval of M&S requirements. The need for this process is recognized in AR 5-11. The requirements integration and approval (RIA) process has been approved by the DCG, TRADOC and endorsed by the Army Model and Simulation Executive Council (AMSEC), which is jointly chaired by the DCSOPS, the Deputy Under Secretary of the Army (Operations Research) (DUSA(OR)) and the Military Deputy to the ASA(ALT). Detailed definitions, actions, and documents to support the process are provided in app M.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 12);

**Special Note:** N/A

### AC 1.3.3 (Requirements) Special Considerations

Threat support to requirements process; AR381-11, TRADOC Reg 381-1;

Information Technology (IT) Considerations; AR 71-9

Offensive Information Operations (IO), Special Access Programs (SAPs)

Power Source/ Power Management

Transporting by Commercial Assets

Horizontal Requirements Integration; AR 71-9, AR70-1 DA Pam 70-3

Horizontal Technology Integration; AR 71-9, AR70-1 DA Pam 70-3

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99 (Chapter 13)

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### AC 1.4 (Requirements) DTLOMS Domain Development

Requirements Generation Requirements. Achieving the desired future capabilities involves modifying the current Doctrine, Training, Leader Development, Organization and Materiel in Support of Soldiers (DTLOMS) structure. These modifications are called "requirements" and are resourced unconstrained. Requirements are independent of the acquisition life cycle phases, the science and technology base is investigating technologies that could lead to more effective systems. At the same time, U.S. Army Training and Doctrine Command (TRADOC) is developing warfighting concepts focused on the future that will become the Army's "Blueprint" for determining DTLOMS requirements.

**Requirement Source:** TRADOC PAM 71-9 Requirements Generation; 5 Nov 99; CJCSI 3170.01A, Requirements Generation System

**Special Note:** N/A

#### AC 1.4.1 (Requirements) Doctrine Development

Doctrine Solutions = TRADOC Doctrine development translating doctrinal requirements into publications that prescribe doctrine, tactics, techniques, and procedures.

Documented in Program Directives, para 10-2 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

**Requirement Source:** AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99

**Special Note:** N/A

#### AC 1.4.2 (Requirements) Training Development

Training Solutions = TRADOC Training development+translating training requirements into programs, methods, or devices.

Documented in Individual Training Plans (ITP); Course Administrative Data (CAD); or Program of Instruction (POI), para 10-3 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

**Requirement Source:** AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99

**Special Note:** N/A

#### AC 1.4.3 (Requirements) Leader Development

Leader Solutions = TRADOC Leader development+translating leader development requirements into programs, methods, or devices.

Documented in Memorandum, para 10-4 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

**Requirement Source:** AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99

**Special Note:** N/A

## Section 1 : Technology Opportunities and User Needs

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### AC 1.4.4 (Requirements) Organizational Development

Org Solution = URS Organization development translating organization requirements into unit models.

Documented in Unit Reference Sheet (URS); Table of Organization & Equipment (TOE), para 10-5 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

**Requirement Source:** AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99

**Special Note:** N/A

### AC 1.4.5 (Requirements) Materiel Development

Mat Solutions = Materiel development translating materiel requirements into executable acquisition programs within cost, schedule, and performance constraints. (Approved by JROC) Mission Need Statement (MNS) - A formal document, expressed in broad operational terms and prepared in accordance with CJCS 13170.01, that documents deficiencies in current capabilities and opportunities to provide new capabilities. Operational Requirements Document (ORD) - A formatted statement, which is prepared by the user or user's representative, containing operational performance parameters for the proposed concept/system that defines the system capabilities needed to satisfy the mission need. It is prepared at each milestone, usually beginning with Phase B.

Documented in Capstone Requirement Documents (CRD); Mission Need Statements(MNS); and Operational Requirement Document (ORD), para 10-7 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

CJCSI 5123.01A, CHARTER OF THE JOINT REQUIREMENTS OVERSIGHT COUNCIL, 8 March 2001; Assist the Vice Chairman of the Joint Chiefs of Staff in his role as the Vice Chairman of the Defense Acquisition Board (DAB) by reviewing and approving military need and joint interoperability requirements for potential ACAT I programs, JROC Special Interest programs, and Major Acquisition Information Systems (MAIS) as may be directed by the Secretary of Defense or Chairman of the Joint Chiefs of Staff; and by considering cost, schedule, and performance and nonmaterial alternatives for acquisition programs identified to meet military needs (i.e., alternatives involving changes in doctrine, tactics, training, or organization).

**Requirement Source:** CJCS Instr 3170.01A, (ref I)); AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99; CJCSI 5123.01A JROC Charter, 8 Mar 2001.

**Special Note:** N/A

### AC 1.4.6 (Requirements) Soldier Development

Soldier Solutions = Rqmts to DCSPER Soldier Solution development+translating soldier requirements into prescribed soldier requirements.

Documented in Military Occupational Classification & Structure (MOCS) Memorandum, para 10-6 TRADOC PAM 71-9 Requirements Generation; 5 Nov 99

**Requirement Source:** AR 70-1; Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97; TRADOC Pam 71-9, Force Development, Requirements Generation, 5 Nov 99

**Special Note:** N/A

## Section 2: Concept and Technology Development

### AC 2 (Phase A) Concept and Technology Development

Approval to enter Phase A DOES NOT yet mean that a new acquisition program has been initiated.

Entry can be at either Concept Exploration or Component Advanced Development depending on whether an evaluation of multiple concepts is desired or if a concept has been chosen, respectfully.

Not all programs must enter at Phase A. The MDA will approve what entry point of The 5000 Model is the most appropriate for the effort. Entry point can be at a Milestone Decision Point, marking the beginning of a specific Phase; or within a Phase, generally at a Decision Point. Mandatory documents from a previous Phase will be required when Phases or parts of a Phase are tailored/skipped to fit a specific effort.

para 4.7.1.10 and 4.7.2.4.2.2 through 4.7.2.4.2.4.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

#### AC 2.1 (Phase A) Milestone A Decision Review

At Milestone A, the (Milestone Decision Authority) MDA shall approve the Phase A entry point, designate a lead Component, approve exit criteria, and issue the Acquisition Decision Memorandum. The leader of the ICT development team, working with the integrated test team, shall develop an evaluation strategy that describes how the capabilities in the MNS will be evaluated once the system is developed. That evaluation strategy shall be approved by the DOT&E and the cognizant OIPT leader 180 days after Milestone A approval.

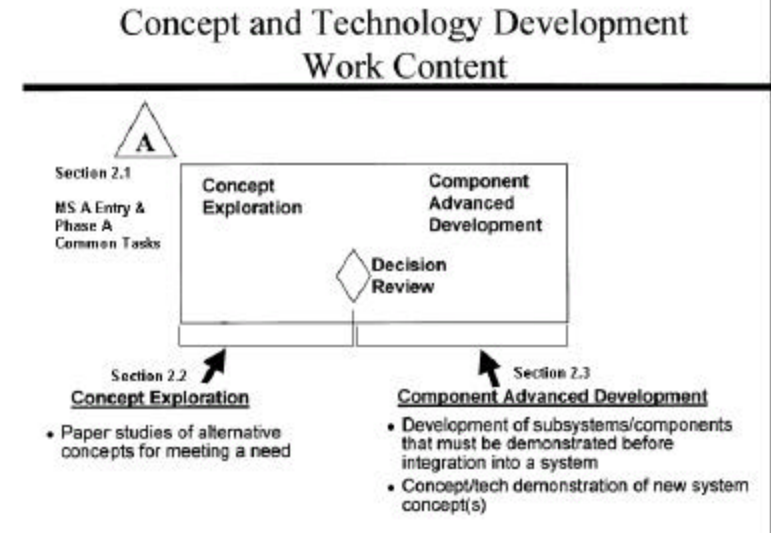
The Phase A entry point can be either Concept Exploration or Component Advanced Development depending on whether the evaluation of multiple concepts is desired or if a concept has been chosen, but more work is needed on key sub-systems or components before a system architecture can be determined and the technologies can be demonstrated in a relevant environment.

A favorable Milestone A decision DOES NOT yet mean that a new acquisition program has been initiated.

4.7.2.4.2.1 through 4.7.2.4.2.4

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



## Section 2: Concept and Technology Development

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### AC 2.1.1 (Phase A) Actions required by Acquisition Approving Authority stated in Acquisition Decision Memorandum (ADM)

The Acquisition Decision Memorandum (ADM) documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R, Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity.

The Defense Acquisition Executive (DAE) will normally sign an Acquisition Decision Memorandum (ADM) following either (1) the Defense Acquisition Board (DAB) Readiness Meeting (DRM), if no issues warrant a DAB review, or (2) the DAB review. There are two basic purposes for an Acquisition Decision Memorandum (ADM): (1) to record the decision made by the DAE; and (2) to provide direction to the Component, Program Manager (PM), or other action addressees.

The DAE objective is to sign the ADM within 48 hours following the DRM or DAB decision; therefore, certain expedited procedures will apply. Immediately following the decision, the DAB Executive Secretary, working in conjunction with the OIPT Leader, will prepare a draft ADM. The DAB Executive Secretary will expedite draft ADM delivery to the DAB Principals, attending senior advisors, and DRM participants, for a 24-hour turn-around for "verification of accuracy." Normally, no response will be taken as a concurrence.

The ADM package will also transmit any other documents (including attachments) that require DAE signature or approval, such as the APB, exit criteria, acquisition strategy or changes thereto, or portions of a multi-purpose document.

ADMs are based on the proposals of the Component, recommendations of the Overarching Integrated Product Team (OIPT), and the decision of the DAE at the DRM or DAB review. Items not discussed at the DRM or DAB review, or not explicitly decided by the DAE, will not be included in the ADM.

The DAB Executive Secretary will ensure that an ADM recording the decision to proceed beyond Low Rate Initial Production (LRIP) is not signed until the Beyond LRIP and Live Fire Test and Evaluation (LFT&E) reports are received by the Congressional Defense Committees, in accordance with 10 USC 2399 and 10 USC 2366 respectively. He will also ensure that an ADM recording the decision to enter into engineering and manufacturing development or production and deployment is not signed unless an independent estimate of the full life-cycle cost of the program and a manpower estimate for the program have been completed and considered by the DAE, in accordance with 10 USC 2434.

The DAB Executive Secretary will provide the DAB members and senior advisors a copy of the signed ADM. Also, the DAB Executive Secretary will coordinate with OASD(PA) the preparation of any press release concerning the ADM. DoD 5000.2, para 7.8.1 The Defense Acquisition Executive (DAE) shall conduct DAB reviews at major program milestones and at the Full-Rate Production Decision Review (if not delegated to the CAE), and at other times, as necessary. An Acquisition Decision Memorandum (ADM) shall document the decision(s) resulting from the review.

## Section 2: Concept and Technology Development

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### AC 2.1.1 Continued:

MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Actions required by Acquisition Approving Authority stated in Acquisition Decision Memorandum (ADM) The ADM documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R. Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity

The ADM documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting.

**Requirement Source:** part 5.2.1 of DoD 5000.2-R; DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 2.1.2 (Phase A) Identification of Integrated Concept Team (ICT)

Identification of Integrated Concept Team (ICT) Membership This approach documents Army goals for the science and technology community. This is accomplished under a TRADOC-led Integrated Concept Team (ICT) with support from the appropriate technology (propulsion, survivability, sensor, etc.) focused IPT. Formation of the ICT in early concept development enables the team to transition to a product focused IPT when the materiel requirement is approved. A standing IPT should be formed for each technology area. The technology focused IPT compares and analyzes the future operational capabilities. Also, the IPT considers life cycle issues for the technologies being evaluated. Close coordination takes place between the ICT and technology focused IPT through shared membership. The ICT membership typically includes representatives from TRADOC (Battle LABS/schools), academia, industry, and appropriate Major Army Commands (MACOM).

**Requirement Source:** AR 70-1, Research, Development, and Acquisition; Army Acquisition Policy, 15 Dec 97 para 1.4 (a); AR 700-127, Integrated Logistics Support, 10 Nov 99 para 2.2

**Special Note:** N/A



## Section 2: Concept and Technology Development

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### AC 2.1.3 (Phase A) Consideration of Technology Issues

Consideration of Technology Issues In order to achieve the best possible system solution, emphasis will be placed on innovation and competition. To this end, participation by a diversified range of businesses (i.e., small, new, domestic, and international) should be encouraged. Alternative system design concepts will be primarily solicited from private industry and, where appropriate, from organic activities, international technology and equipment firms, Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations. Technical Evaluation The study, investigations, or test and evaluation (T&E) by a developing agency to determine the technical suitability of materiel, equipment, or a system, for use in the military services.

**Requirement Source:** 10USC-2364 (ref(w)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 2.1.4 (Phase A) Mission Needs Statement (MNS)

DoDI 5000.2 Mission Needs Statement (MNS) Updated Mission Need Statement (MNS) - A formal document, expressed in broad operational terms and prepared in accordance with CJCS 13170.01, that documents deficiencies in current capabilities and opportunities to provide new capabilities.

DoDD 4630.8 A copy of each MNS and ORD involving development, acquisition, or modification of C3I systems, is, on DoD Component approval, provided to the Defense Information Systems Agency (DISA) for interoperability assessment and inclusion in the joint C3I interoperability requirements data base.

**Requirement Source:** CJCS Instr 3170.01A, (ref (i)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoDD 4630.8 Procedures for Compatibility, Interoperability, and Integration of (C3I) Systems

**Special Note:** N/A

### AC 2.1.5 (Phase A) Integrated Logistics Support (ILS)

Integrated Logistics Support (ILS) AR700-127 The ILS program objectives will be established with an overall objective of reducing total ownership cost (TOC) within the mission area. The specific goal/objective of the ILS program is to introduce and sustain fully supportable materiel systems in current and projected environments that meet established operational and system readiness objectives (SRO) at minimum LCC. Integrated logistics support is an inherent part of the system engineering process. It includes efforts to design, introduce, and sustain materiel systems that conform to the capabilities and limitations of military and civilian personnel who operate and maintain those systems. This also includes improving logistics standardization and interoperability (S&I) of materiel within DA, other Services, and Allied Nations.

Elements Include: Maintenance Planning; Design Interface; Manpower & Personnel Elements; Supply Support; Support Equipment; Training and Support; Technical Data; Computer Resources; Facilities; and Packing, Handling, Storage & Transportation.

**Requirement Source:** AR 700-127

**Special Note:** N/A

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### **AC 2.1.6 (Phase A ) Funds Management/Programming (BA Type- 6.3a/6.3b)**

Type 6.3a Advanced Technology Development includes all efforts directed toward projects that have moved into the development of hardware for test. The prime result for these efforts is proof of design concept. Type 6.3b Demonstration and Validation includes all efforts of projects previously described as in the PDRR acquisition phase.

**Requirement Source:** Program Budget and Accounting System (PBAS)

**Special Note:** N/A

### **AC 2.1.7 (Phase A) The Test and Evaluation Master Plan (TEMP)**

(During Phase A - Evaluation Strategy Only) The Test and Evaluation Master Plan (TEMP) documents the overall structure and objectives of the test and evaluation program. It provides a framework to generate detailed test and evaluation plans and it documents schedule and resource implications associated with a test and evaluation program that supports the acquisition strategy.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### **AC 2.1.8 (Phase A) Market Research**

Market Research activities play a critical role in requirements definition, leading to potential design alternatives. During the requirements definition stage of an acquisition, market research can help to identify possible alternatives for satisfying mission needs. With a needs statement described in terms of essential performance and functional characteristics, the marketplace can be explored to determine whether sources exist that can meet them. This type of market research will also identify industry capability in terms of current and emerging technologies as well as manufacturers' processes, production methods and controls - results that can make a valuable contribution to the final design requirements. 10 USC 2377 requires the conduct of market research before developing new specifications for a procurement.

**Requirement Source:** 10USC-2377 (ref(jj)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### **AC 2.1.9 (Phase A) Full Funding of Concept & Technology Effort**

Full Funding of Concept & Technology Effort in accordance with the Clinger-Cohen Act (CCA) (reference (k)). The DoD CIO shall issue guidance describing minimum criteria for CCA compliance, but at a minimum, the Head of the Component or designee shall certify that the program is fully funded.

The work in Concept Exploration normally shall be funded only for completion of concept studies contracts. The work shall be guided by the MNS.

Para 4.7.2.4.3.3, DoDI 5000.2

**Requirement Source:** Clinger-Cohen Act (CCA) (reference (k)); DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

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### AC 2.1.10 (Phase A) MANPRINT

AR700-127, When the product manager (PM) is appointed, if earlier (AR 70-1), assign an ILSM (preferably the Pre-MDR I ILSM designated to work with the CBTDEV) to the system acquisition program. The ILSM will establish or assume the chair of the SIPT at that time. The ILS manager will also serve as the MANPRINT manager when the size and complexity of the program permit.

MANPRINT influences the initial functional allocation of tasks between people, hardware, and software. MANPRINT must also be considered in establishing logistics-related design constraints and readiness requirements. Human performance capabilities must be considered when determining system performance requirements. The entire process of integrating the full range of human-factor engineering, manpower, personnel, training, health hazard assessment, system safety, and soldier survivability throughout the materiel development and acquisition process to ensure optimum total system performance.

FAR 15.605, Manpower and Personnel Integration (MANPRINT) shall be an evaluation factor in source selection for major systems, designated acquisition programs and, when appropriate, other acquisition programs. MANPRINT may be a separate factor on the same level as "technical," "cost" or "management." However, proper integration of MANPRINT considerations requires that MANPRINT be included at some subfactor level in each and every area of proposal evaluation as appropriate for the acquisition. When MANPRINT is a consideration, the evaluation report shall include an integrated assessment of how MANPRINT was addressed in all evaluation areas. The SSA is not bound to follow the recommendations resulting from the evaluation.

Evaluate and consider Manpower and Personnel Integration (MANPRINT) requirements and opportunities included as evaluation factors and significant subfactors in the best value tradeoff analyses associated with source selection for acquisition of all Army systems. See AFARS 15.304(S-90).

AR73-1, Ensure that Manpower and Personnel Integration (MANPRINT) T&E concerns are addressed in appropriate testing and T&E documents. (See AR 602-2.) Developmental assessments will be performed on systems that are not developmentally evaluated. A developmental assessment is a basic engineering or mathematical assessment of test results and appropriate data analysis with respect to system performance, RAM, ILS, human factors engineering, MANPRINT, and system safety against system specifications and user requirements. It does not normally address battlefield significance and contribution. The primary objective of an independent operational evaluation (IOE) is to address the operational effectiveness and suitability of Army systems for use by typical users in realistic operational environments. Other objectives include- (1) Assisting combat and materiel developers and functional proponents by providing information relative to operational performance, doctrine, tactics, logistics, MANPRINT, system safety, technical publications, RAM, correction of deficiencies, and refinement of requirements.

**Requirement Source:** FAR part 15.605; AR 73-1; AR 602-2 Manpower and Personnel Integration (MANPRINT) in the Materiel Acquisition Process.; AR700-127; AFARS 15.304(S-90).

**Special Note:** N/A

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### AC 2.1.11 (Phase A) ID Areas of Risk DT&E/OT&E Risk Analysis

ID Areas of Risk OT&E Risk Analysis A detailed examination of each identified program risk which refines the description of the risk, isolates the cause, and determines the impact of the program risk in terms of its probability of occurrence, its consequences, and its relationship to other risk areas or processes.

Supplement to OMB Circular A-11, Part 3, There should be a risk analysis that identifies how risk for the different parts of the project will be isolated, minimized, monitored, and controlled. High risk should be accepted only insofar as it can be justified by high expected returns, and only if project failure can be absorbed by the agency without loss of service capability or significant effect on budget.

Perform Risk and Sensitivity Analysis. Benefit and cost estimates are typically uncertain. Risk analysis can be used to identify where the relevant uncertainties exist or where development work will be needed to resolve the uncertainties. For example, installation costs are not always identified exactly and can exceed expectations. Unexpected technological changes may make new equipment obsolete sooner than foreseen. Sensitivity analysis can identify the response of program costs and benefits to changes in one or more uncertain elements of the analysis. Sensitivity analysis should be used to test the response of the investment's net present value to changes in key assumptions.

(AIS) DoD5000.2-(Interim), The PM shall develop and implement anti-tamper measures for all programs in accordance with the determination of the MDA documented in the Program Protection Plan. Anti-tamper capability, if determined to be required for a system, must be reflected in the systems specifications, integrated logistics support plan, and other program documents and design activities. Because of its function, anti-tamper should not be regarded as an option or a system capability that may later be traded off without a thorough operational and acquisition risk analysis. To accomplish this, the PM shall identify critical technologies, identify system vulnerabilities, and, with assistance from counter-intelligence organizations, perform threat analyses to the critical technologies. The PM shall research anti-tamper measures and determine which best fit the performance, cost, schedule, and risk of the program.

DoD 5000.4-M, In the early 1980s, Defense Deputy Secretary Frank Carlucci imposed additional demands on the Defense Department's cost analysis capabilities. These changes, collectively referred to as the "Carlucci Initiatives," included the following: requiring the Services to prepare budgets focused on most likely or expected costs, to budget more realistically for inflation, and to forecast business base at contractors' plants; allowing use of multi-year procurement based on cost-benefit and risk analysis; requiring economic production rates; providing greater incentives for reaching design-to-cost goals by tying award fees to actual costs in production; and increasing efforts to forecast cost risk and uncertainty.

**Requirement Source:** Supplement to OMB Circular A-11, Part 3; DoD5000.2-(Interim) 4 Jan 2001;

**Special Note:** N/A

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### AC 2.1.12 (Phase A) Analysis of Multiple Concepts

The focus of these efforts is to define and evaluate the feasibility of alternative concepts and to provide a basis for assessing the relative merits (i.e., advantages and disadvantages, degree of risk, etc.) of these concepts. Analyses of alternatives shall be used to facilitate comparisons of alternative concepts. In order to achieve the best possible system solution, emphasis will be placed on innovation and competition. To this end, participation by a diversified range of businesses (i.e., small, new, domestic, and international) should be encouraged.

Alternative system design concepts will be primarily solicited from private industry and, where appropriate, from organic activities, international technology and equipment firms, Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations.

Para 4.7.2.4.3.1 through 4.7.2.4.3.2.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 2.1.13 (Phase A) Identification of Acquisition Streamlining / Tailoring Activities

Identification of Acquisition Streamlining / Tailoring Activities . The Program Manager shall streamline all acquisitions so that the acquisitions contain only those requirements which are essential and cost effective. Contract requirements shall be stated in terms of performance rather than design-specific procedures. Management data requirements shall be limited to those essential for effective control. Acquisition process requirements shall be tailored to meet the specific needs of individual programs. Relief or exemption shall be sought for those requirements that fail to add value, are not essential, or are not cost-effective.

Section 7106 of the Federal Acquisition Streamlining Act of 1994 (FASA) establishes a 5 percent women-owned small business goal. Section 603 of the Small Business Reauthorization Act of 1997 increases the annual government-wide goal for prime contract awards to small business concerns from not less than 20 percent to not less than 23 percent. The Act also adds a 3 percent HUBZone small business goal phased-in over the next 5 years.

Title VIII of the Federal Acquisition Streamlining Act of 1994 (Public Law 103-355) establishes acquisition policies more closely resembling those of the commercial marketplace and encouraging the acquisition of commercial items and components.

Acquisition streamlining. DoDD 5000.1, Defense Acquisition, and DoD 5000.2-R, Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs, contain policy direction on acquisition streamlining. See MIL-HDBK 248, Acquisition Streamlining, for guidance on streamlining performance requirements, the technical package, and the contract strategy.

**Requirement Source:** OFPP Policy Letter 99-1 Small Business Procurement Goals; FASA 1994; FAR part 13.005; DFARS part 207; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

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### AC 2.2 (Phase A-CE) Concept Exploration Entrance Criteria

While a materiel alternative may enter acquisition at multiple points, the appropriate point is guided by the ability to satisfy stated entrance criteria, the content of each work effort within a phase, and the considerations at each milestone. Entrance criteria are minimum accomplishments required to be completed by each program prior to entry into the next phase or work effort.

After the requirements authority validates and approves a MNS, the MDA (through the IPT process) will review the MNS, consider possible technology issues (e.g., technologies demonstrated in ATDs), and identify possible alternatives before making a Milestone A decision, based on an analysis of multiple concepts to be studied, and considering cooperative opportunities.

Concept Exploration typically consists of competitive, parallel, short-term concept studies. The focus of these efforts is to define and evaluate the feasibility of alternative concepts and to provide a basis for assessing the relative merits (i.e., advantages and disadvantages, degree of risk, etc.) of these concepts. Analyses of alternatives shall be used to facilitate comparisons of alternative concepts.

In order to achieve the best possible system solution, emphasis will be placed on innovation and competition. To this end, participation by a diversified range of businesses (i.e., small, new, domestic, and international) should be encouraged. Alternative system design concepts will be primarily solicited from private industry and, where appropriate, from organic activities, international technology and equipment firms, Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations.

The work in Concept Exploration normally shall be funded only for completion of concept studies contracts. The work shall be guided by the MNS.

The most promising system concepts shall be defined in terms of initial, broad objectives for cost, schedule, and performance; identification of interoperability, security, technology protection, operational support, and infrastructure requirements within a family of systems; opportunities for tradeoffs, and an overall acquisition strategy and test and evaluation strategy (including Development Test and Evaluation (DT&E), Operational Test and Evaluation (OT&E), and Live Fire Test and Evaluation (LFT&E)).

This work effort ends with a review, at which the MDA selects the preferred concept to be pursued for which technologies are available.

Para 4.7.1.8 through 4.7.2.4.3.4.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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### AC 2.2.1 (Phase A - CE) Decision Review ADM

The Acquisition Decision Memorandum (ADM) documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R, Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity. The Defense Acquisition Executive (DAE) will normally sign an Acquisition Decision Memorandum (ADM) following either (1) the Defense Acquisition Board (DAB) Readiness Meeting (DRM), if no issues warrant a DAB review, or (2) the DAB review. There are two basic purposes for an Acquisition Decision Memorandum (ADM): (1) to record the decision made by the DAE; and (2) to provide direction to the Component, Program Manager (PM), or other action addressees.

The DAE objective is to sign the ADM within 48 hours following the DRM or DAB decision; therefore, certain expedited procedures will apply. Immediately following the decision, the DAB Executive Secretary, working in conjunction with the OIPT Leader, will prepare a draft ADM. The DAB Executive Secretary will expedite draft ADM delivery to the DAB Principals, attending senior advisors, and DRM participants, for a 24-hour turn-around for "verification of accuracy." Normally, no response will be taken as a concurrence.

The ADM package will also transmit any other documents (including attachments) that require DAE signature or approval, such as the APB, exit criteria, acquisition strategy or changes thereto, or portions of a multi-purpose document.

ADMs are based on the proposals of the Component, recommendations of the Overarching Integrated Product Team (OIPT), and the decision of the DAE at the DRM or DAB review. Items not discussed at the DRM or DAB review, or not explicitly decided by the DAE, will not be included in the ADM.

The DAB Executive Secretary will ensure that an ADM recording the decision to proceed beyond Low Rate Initial Production (LRIP) is not signed until the Beyond LRIP and Live Fire Test and Evaluation (LFT&E) reports are received by the Congressional Defense Committees, in accordance with 10 USC 2399 and 10 USC 2366 respectively. He will also ensure that an ADM recording the decision to enter into engineering and manufacturing development or production and deployment is not signed unless an independent estimate of the full life-cycle cost of the program and a manpower estimate for the program have been completed and considered by the DAE, in accordance with 10 USC 2434.

The DAB Executive Secretary will provide the DAB members and senior advisors a copy of the signed ADM. Also, the DAB Executive Secretary will coordinate with OASD(PA) the preparation of any press release concerning the ADM. DoD 5000.2, para 7.8.1 The Defense Acquisition Executive (DAE) shall conduct DAB reviews at major program milestones and at the Full-Rate Production Decision Review (if not delegated to the CAE), and at other times, as necessary. An Acquisition Decision Memorandum (ADM) shall document the decision(s) resulting from the review.

MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Actions required by Acquisition Approving Authority stated in Acquisition Decision Memorandum (ADM).

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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### AC 2.2.2 (Phase A- CE) Concept Exploration Exit Criteria: Decision Review.

During Concept Exploration, the MDA may hold a decision review to determine if additional Component Advanced Development is necessary before key technologies will be sufficiently mature to enter System Development and Demonstration, (Phase B) for one of the concepts under consideration. If the concepts do not require technologies necessitating additional component development, the appropriate Milestone Review, (B or C) shall be held in place of this review.

DoD5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Exit Criteria sets program specific accomplishments that must be satisfactorily demonstrated before a program can progress further in the current acquisition phase or transition to the next acquisition phase. The exit criteria shall serve as gates that, when successfully passed or exited, demonstrate that the program is on track to achieve its final program goals and should be allowed to continue with additional activities within an acquisition phase or be considered for continuation into the next acquisition phase. Exit criteria are some level of demonstrated performance outcome (e.g., level of engine thrust), the accomplishment of some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion (e.g., establishment of a training program or inclusion of a particular clause in the follow-on contract) that indicates that aspect of the program is progressing satisfactorily.

**Requirement Source:** DoD 5000.2; (USC2220(a)(1)128); (Clinger-Cohen Act 129); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



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### AC 2.3 (Phase A-CAD) Component Advanced Development Entrance Criteria

4.7.2.4.6. Component Advanced Development. The project shall enter Component Advanced Development when the project leader has a concept for the needed capability, but does not yet know the system architecture.

Unless otherwise determined by the MDA, the component technology to be developed shall have been proven in concept.

The project shall exit Component Advanced Development when a system architecture has been developed and the component technology has been demonstrated in the relevant environment or the MDA decides to end this effort. This effort is intended to reduce risk on components and subsystems that have only been demonstrated in a laboratory environment and to determine the appropriate set of subsystems to be integrated into a full system. This work effort normally will be funded only for the advanced development work. The work effort will be guided by the validated MNS, but during this activity, an ORD shall be developed to support program initiation. Also, acquisition information necessary for a milestone decision (e.g., the acquisition strategy, program protection plan, etc.) shall be developed.

This effort is normally followed by entry into the System Development and Demonstration phase after a Milestone B decision by the MDA.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

#### AC 2.3.1 (Phase A-CAD) The Acquisition Program Baseline (APB)

DoD 5000.2-R (Interim), Every acquisition program shall establish an APB beginning at program initiation. The PM shall base the APB on users' performance requirements, schedule requirements, and estimate of total program cost. Performance shall include interoperability, supportability and, as applicable, environmental requirements. The department shall not obligate funds for ACAT I or ACAT IA programs beyond Milestone B until the MDA approves the APB, unless the Under Secretary of Defense (Acquisition, Technology and Logistics (USD(AT&L))) (for ACAT I) or the Assistant Secretary of Defense (Command, Control, Communications and Intelligence) (ASD(C3I)) (for ACAT IA) specifically approves the obligation (10 USC 2435(b)5). The APB satisfies requirements derived from both 10 USC 2220(a)(1)6 and 10 USC 2435.

The Acquisition Program Baseline at a minimum contain:

Performance. The total number of performance parameters shall be the minimum number needed to characterize the major drivers of operational performance, supportability, and interoperability (10 USC 2435). This minimum number shall include the KPPs identified in the ORD. The value of a threshold or objective in the APB shall not differ from the value for a like threshold or objective in the ORD, and their definitions shall be consistent. The MDA may add additional performance parameters not validated by the JROC. The number and specificity of performance parameters increase with time. Early in a program the PM shall use a minimum number of broadly defined, operational-level, measures of effectiveness or performance to describe needed capabilities. As program, system level requirements become better defined, the PM may designate a limited number of additional, specific, program parameters, as necessary.

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### AC 2.3.1 Continued:

**Schedule.** Schedule parameters shall minimally include dates for program initiation, major decision points, and the attainment of initial operating capability. The PM may propose, for MDA approval, other, specific, critical, system events, as necessary. In accordance with 10 USC 1817 the JROC shall evaluate program schedule criteria, including critical schedule dates, for ACAT I programs.

**Cost.** Cost parameters shall identify TOC (broken-out into direct costs: research, development, test, and evaluation costs, procurement costs, military construction costs, operations and support costs (to include environmental, safety, and occupational health compliance costs), and the costs of acquisition items procured with operations and maintenance funds, if applicable; indirect costs attributable to the systems; and infrastructure costs not directly attributable to the system); total quantity (including both fully configured development and production units) costs; average procurement unit cost (defined as the total procurement cost divided by total procurement quantity); program acquisition unit cost (defined as the total of all acquisition related appropriations divided by the total quantity of fully configured end items); and other cost objectives designated by the MDA. For reporting purposes, the PM shall use life-cycle costs as defined in DoD 5000.4-M8. The PM shall present cost figures in base year dollars.

Cost figures shall initially reflect realistic estimates of the total program, including a thorough assessment of risk. As the program progresses, the PM shall refine procurement costs based on contractor actual (return) costs from component advanced development, system integration, and system demonstration, as available, and from low-rate initial production. The PM shall include the refined estimate in the next required submittal of the APB. Budgeted amounts shall not exceed the total cost thresholds in the APB. For ACAT IA programs, ACAT I cost parameters shall apply with the addition of military pay and the cost of acquisition items procured with Defense Working Capital Funds. The JROC shall evaluate program cost criteria for ACAT I programs (10 USC 181).

**Requirement Source:** DoD 5000.2-R (Interim) 4 Jan 2001; 10 USC 2220(a)(1)6; 10 USC 2435 (ref(kk)); 10 USC 181; DoD Manual 5000.4-M; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated)

### AC 2.3.2 (Phase A-CAD) Acquisition Strategy.

Acquisition Strategy is a plan that serves as a roadmap for program execution from program initiation through post production support. ACAT I and IA Programs must contain information on: Open Systems Objectives, Sources, Risk Management, CAIV, Contract Approach, Management Approach, Environmental Considerations, Safety and Health Considerations, Modeling and Simulation, Source of Support, Warranties, and Government Property in pos-session of Contractors.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated)

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### AC 2.3.3 (Phase A-CAD) Development of subsystems / components that need demonstration.

Development of subsystems / components that need demonstration. Subsystem A functional grouping of components that combine to perform a major function within an element such as electrical power, attitude control, and propulsion.

OMB Circular A-109 , Development of subsystems that are intended to be included in a major system acquisition program will be restricted to less than fully designed hardware (full-scale development) until the subsystem is identified as a part of a system candidate for full-scale development. Exceptions may be authorized by the agency head if the subsystems are long lead time items that fulfill a recognized generic need or if they have a high potential for common use among several existing or future systems.

**Requirement Source:** OMB Circular A-109 Major System Acquisitions;

**Special Note:** N/A

### AC 2.3.4 (Phase A-CAD) Concept / Technology demonstration of new system concepts.

CJCSI 3170.01A Requirements Generation System, The definition phase defines and justifies the development of a ORD. The ORD sponsor will apply Analysis-of-Alternatives (AOA), risk reduction demonstrations, military utility assessments, Advance Concept Technology Demonstrations (ACTD), Advanced Technology Demonstrations (ATD), experimentation, test and evaluation, cost-schedule-performance tradeoff, requirements cost tradeoffs, and affordability analysis in the development of draft ORD requirements (especially KPPs).

DoDI 5000.2 Concept / Technology demonstration of new system concepts. Advanced Concept Technology Demonstrations. The goal of ACTDs is to assess the military utility of a significant new capability and to conduct that assessment at a scale size adequate to clearly establish operational utility and system integrity. The JROC will prioritize proposed ACTD candidates, together with proposed CINC sponsor and Lead Service/Agency. Once the ACTDs are prioritized the JROC will forward the prioritization with CINC sponsor and lead service or agency, via JROCM, to USD (A&T). This action equates to a mission need determination for each ACTD. The lead service is responsible to develop the Operational Requirements Document for ACTDs that have shown military utility and have been approved to transition to the formal acquisition process. The ACTD management plan should address the schedule for anticipated ORD development to ensure a smooth transition to the acquisition process. The JROC requests that if funding is insufficient to support the candidates in priority order, the JROC be consulted regarding the rationale for implementing the ACTDs out-of-priority order.

**Requirement Source:** CJCSI 3170.01A Requirements Generation System; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

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### AC 2.3.5 (Phase A-CAD) OIPT Leaders Report (Acat ID and IAM only)

There are generally two levels of IPT: the OIPT and Working-Level IPTs (WIPTs). Each program shall have an OIPT and at least one WIPT. WIPTs shall focus on a particular topic such as cost/performance, test, or contracting. An Integrating IPT (IIPT) (which is a WIPT) shall coordinate WIPT efforts and cover all topics not otherwise assigned to another IPT. IPT participation is the primary way for any organization to participate in the acquisition program.

OIPT Leaders Report (Acat ID and IAM only) Overarching Integrated Product Team (OIPT). For ACAT IC, IAC, II, IIA, III, and IV programs, the MDA will establish an OIPT and designate a chairperson. The secretary/facilitator for ACAT I and II program OIPT will be the SARDA or DISC4 action officer (depending where Army Staff System Coordination resides). For ACAT III and IV programs, the MDA will identify the OIPT secretary/facilitator. OIPT membership will consist of empowered individuals appointed by: ASARC members (ACAT IC, or II programs); by Army MAISRC members (ACAT IAC and IIA programs); and the MDA (ACAT III and IV programs). Membership will be tailored to the needs and level of oversight required for the program.

**Requirement Source:** DoD 5000.2R, para 7.6

**Special Note:** (Acat ID and IAM only)

### AC 2.3.6 (Phase A-CAD) OIPT Staff Assessment (Acat ID and IAM only)

OIPT Staff Assessment (Acat ID and IAM only) The OIPT leader for ACAT ID programs shall provide an integrated assessment to the DAB chair, principals, and advisors at major program reviews and milestone decision reviews using information gathered through the IPT process. The leader's assessment shall focus on core acquisition management issues and shall take account of independent assessments that are normally prepared by OIPT members. These assessments are typically accomplished in the context of the OIPT review and shall be reflected in the OIPT Leader's report. There should be no surprises at this point, because all team members are already working the issues in real time, and they should be knowledgeable of their OIPT leader's assessment.

**Requirement Source:** DoD 5000.2R, section 7.6

**Special Note:** (Acat ID and IAM only)

### AC 2.3.7 (Phase A-CAD) Selected Acquisition Report (SAR)

(1) The Secretary of Defense shall submit to Congress at the end of each fiscal-year quarter a report on current major defense acquisition programs. Except as provided in paragraphs (2) and (3), each such report shall include a status report on each defense acquisition program that at the end of such quarter is a major defense acquisition program. Reports under this section shall be known as Selected Acquisition Reports.

(2) A status report on a major defense acquisition program need not be included in the Selected Acquisition Report for the second, third, or fourth quarter of a fiscal year if such a report was included in a previous Selected Acquisition Report for that fiscal year and during the period since that report there has been- (A) less than a 15 percent increase in program acquisition unit cost and current procurement unit cost; and (B) less than a six-month delay in any program schedule milestone shown in the Selected Acquisition Report.

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### AC 2.3.7 Continued:

(3) -- (A) The Secretary of Defense may waive the requirement for submission of Selected Acquisition Reports for a program for a fiscal year if- (i) the program has not entered engineering and manufacturing development; (ii) a reasonable cost estimate has not been established for such program; and (iii) the system configuration for such program is not well defined.

(B) The Secretary shall submit to the Committees on Armed Services of the Senate and House of Representatives a written notification of each waiver under subparagraph (A) for a program for a fiscal year not later than 60 days before the President submits the budget to Congress pursuant to section 1105 of title 31 in that fiscal year.

(c) -- (1) Each Selected Acquisition Report for the first quarter for a fiscal year shall include- (A) the same information, in detailed and summarized form, as is provided in reports submitted under section 2431 of this title; (B) the current program acquisition unit cost for each major defense acquisition program included in the report and the history of that cost from the date the program was first included in a Selected Acquisition Report to the end of the quarter for which the current report is submitted; and (C) such other information as the Secretary of Defense considers appropriate. Each Selected Acquisition Report for the first quarter of a fiscal year shall be designed to provide to the Committees on Armed Services of the Senate and House of Representatives the information such Committees need to perform their oversight functions. Whenever the Secretary of Defense proposes to make changes in the content of the Selected Acquisition Report, the Secretary shall submit a notice of the proposed changes to such committees. The changes shall be considered approved by the Secretary, and may be incorporated into the report, only after the end of the 60-day period beginning on the date on which the notice is received by those committees. (3) In addition to the material required by paragraphs (1) and (2), each Selected Acquisition Report for the first quarter of a fiscal year shall include the following: (A) A full life-cycle cost analysis for each major defense acquisition program included in the report that is in the engineering and manufacturing development stage or has completed that stage. The Secretary of Defense shall ensure that this subparagraph is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense. (B) If the system that is included in that major defense acquisition program has an antecedent system, a full life-cycle cost analysis for that system.

(4) Selected Acquisition Reports for the first quarter of a fiscal year shall be known as comprehensive annual Selected Acquisition Reports.

(5) The Secretary of Defense shall ensure that paragraph (4) of subsection (a) is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense.

(4) The current procurement cost for the program.

(5) The current procurement unit cost for the program.

(6) The reasons for any change in program acquisition cost, program acquisition unit cost, procurement cost, or procurement unit cost or in program schedule from the previous Selected Acquisition Report.

(7) The major contracts under the program and the reasons for any cost or schedule variances under those contracts since the last Selected Acquisition Report.

(8) The completion status of the program (A) expressed as the percentage that the number of years for which funds have been appropriated for the program is of the number of years for which it is planned that funds will be appropriated for the

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### AC 2.3.7 Continued:

program, and (B) expressed as the percentage that the amount of funds that have been appropriated for the program is of the total amount of funds which it is planned will be appropriated for the program.

(9) Program highlights since the last Selected Acquisition Report.

(f) Each comprehensive annual Selected Acquisition Report shall be submitted within 60 days after the date on which the President transmits the Budget to Congress for the following fiscal year, and each Quarterly Selected Acquisition Report shall be submitted within 45 days after the end of the fiscal-year quarter.

(g) The requirements of this section with respect to a major defense acquisition program shall cease to apply after 90 percent of the items to be delivered to the United States under the program (shown as the total quantity of items to be purchased under the program in the most recent Selected Acquisition Report) have been delivered or 90 percent of planned expenditures under the program have been made.

For MDAPs, a Milestone B decision shall be the occasion for submission of a revised Selected Acquisition Report (DoD 5000.2-R, reference (h)). IT intended for use by non-military users shall be accessible to people with disabilities (reference (v)).

For MDAPs, a milestone decision shall be the occasion for submission of a revised Selected Acquisition Report (reference (c)).

The LRIP quantity (with rationale for quantities exceeding 10 percent of the total production quantity documented in the acquisition strategy) shall be included in the first Selected Acquisition Report (reference (c)) after its determination. Any increase in quantity after the initial determination shall be approved by the MDA. The LRIP quantity shall not be less than one unit. When approved LRIP quantities are expected to be exceeded because the program has not yet demonstrated readiness to proceed to full-rate production, the MDA shall assess the cost and benefits of a break in production versus continuing annual buys.

A full-rate production and deployment decision shall be the occasion for an update of the Selected Acquisition Report (reference (c)).

**Requirement Source:** DoD 5000.2; DoDI 5000.2, DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2432 (reference (II))

**Special Note:** (If program initiated)

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### AC 2.3.8 (Phase A - CAD) Unit Cost Report (UCR)

The program manager for a major defense acquisition program (other than a program not required to be included in the Selected Acquisition Report for that quarter under section 2432(b)(3) of this title) shall, on a quarterly basis, submit to the service acquisition executive designated by the Secretary concerned a written report on the unit costs of the program. Each report shall be submitted not more than 30 calendar days after the end of that quarter. The program manager shall include in each such unit cost report the following information with respect to the program (as of the last day of the quarter for which the report is made): (1) The program acquisition unit cost. (2) In the case of a procurement program, the procurement unit cost. (3) Any cost variance/schedule variance in a major contract under the program since the contract was entered into. (4) Any changes from program schedule milestones or program performances reflected in the baseline description established under section 2435 of this title that are known, expected, or anticipated by the program manager.

(c) If the program manager of a major defense acquisition program for which a unit cost report has previously been submitted under subsection (b) determines at any time during a quarter that there is reasonable cause to believe- (1) that the program acquisition unit cost for the program has increased by at least 15 percent over the program acquisition unit cost for the program as shown in the Baseline Estimate; (2) in the case of a major defense acquisition program that is a procurement program, that the procurement unit cost for the program has increased by at least 15 percent over the procurement unit cost for the program as reflected in the Baseline Estimate; or (3) that cost variances or schedule variances of a major contract under the program have resulted in an increase in the cost of the contract of at least 15 percent over the cost of the contract as of the time the contract was made; and if a unit cost report indicating an increase of such percentage or more has not previously been submitted to the service acquisition executive designated by the Secretary concerned during the current fiscal year (other than the last quarterly unit cost report under subsection (b) for the preceding fiscal year), then the program manager shall immediately submit to such service acquisition executive a unit cost report containing the information, determined as of the date of the report, required under subsection (b).

(d) -- (1) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program, the service acquisition executive shall determine whether the current program acquisition unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the program acquisition unit cost for the program as shown in the Baseline Estimate.  
(2) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program that is a procurement program, the service acquisition executive, in addition to the determination under paragraph (1), shall determine whether the current procurement unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the procurement unit cost for the program as reflected in the Baseline Estimate.  
(3) If, based upon the service acquisition executive's determination, the Secretary concerned determines (for the first time since the beginning of the current fiscal year) that the current program acquisition unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (1) or that the procurement unit cost has increased by

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### AC 2.3.8 Continued:

at least 15 percent, or by at least 25 percent, as determined under paragraph (2), the Secretary shall notify Congress in writing of such determination and of the increase with respect to such program. In the case of a determination based on a quarterly report submitted in accordance with subsection (b), the Secretary shall submit the notification to Congress within 45 days after the end of the quarter. In the case of a determination based on a report submitted in accordance with subsection (c), the Secretary shall submit the notification to Congress within 45 days after the date of that report. The Secretary shall include in the notification the date on which the determination was made.

**Requirement Source:** 10 USC 2433 (reference (mm)); DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated) (MDAPs only)

### AC 2.3.9 (Phase A - CAD) Clinger-Cohen Act (CCA) Certification to Congressional Defense Committee for MAIS

Requirement for certification prior to milestone approval for MAISs only

The MDA shall not approve program initiation or entry into any phase that requires milestone approval (to include full-rate production) for an acquisition program (at any level) for a mission-critical or mission-essential IT system until the Component CIO confirms that the system is being developed in accordance with the Clinger-Cohen Act (CCA) (reference (m)). At a minimum, the Component CIO's confirmation shall include a written description of the following:

1. The acquisition supports core, priority functions that need to be performed by the Federal Government.
2. No private sector or government source can better support the function.
3. The processes that the system supports have been redesigned to reduce costs, improve effectiveness and maximize the use of COTS technology.
4. An analysis of alternatives has been conducted.
5. For AIS, an economic analysis has been conducted that includes a calculation of the return on investment; or for non-AIS programs, an LCCE has been conducted.
6. There are clearly established measures and accountability for program progress.
7. Mission-related, outcome-based performance measures have been established and linked to strategic goals.
8. The program has an information assurance strategy that is consistent with DoD policies, standards, and Architectures.
9. The acquisition is consistent with the Global Information Grid policies and architecture, to include relevant standards.
10. To the maximum extent practicable, (1) modular contracting is being used, and (2) the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks.
11. The system being acquired is registered with the DoD CIO (see 5000.2-R, Appendix G).



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### AC 2.3.9 Continued:

For MDAP programs, the Component CIO's confirmation shall be provided to both the DoD CIO and the MDA.

For MAIS programs, the certification shall be submitted to the DoD CIO and will include a CCA Compliance Report that addresses the above items. The DoD CIO will review the CCA Compliance Report and certify to the Congressional defense committees that the MAIS is being developed in accordance with the CCA before approving program initiation or entry into any phase (including full-rate production) that requires a milestone approval, as required by Sec. 8102 of the FY 2001 Appropriations Act (reference u). For delegated MAIS programs, the MDA shall not approve program initiation or entry into any phase that requires milestone approval (including full-rate production) until the DoD CIO certifies CCA compliance to the congressional defense committees. The DoD CIO will issue guidance on procedures for submitting CCA compliance reports for MAIS. The CCA Compliance Report shall be submitted at least three months before the milestone approval is needed.

The requirement to confirm CCA compliance applies to milestone decisions for each block of an evolutionary acquisition. The requirements of the CCA apply to all IT (including NSS) acquisitions, but the CCA confirmation requirements described above apply only to mission critical and mission essential IT systems. For purposes of CAA certification (as required by Section 8102 of the FY 2001 DoD Appropriations Act (reference u)), all MAIS shall be considered mission critical or mission essential. The CCA certification requirement applies only to MAIS.

Para 4.7.3.2.3.2.1.1 through 4.7.3.2.3.2.4.

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Clinger-Cohen Act (CCA); Sec. 8102 of the FY 2001 Appropriations Act (reference u) Pub. L. 106-259 S 8102 (u)

**Special Note:** (If program initiated)

### AC 2.3.10 (Phase A) Clinger-Cohen Act Compliance (All IT including NSS)

Clinger-Cohen Act Compliance (All IT including NSS) Abstract: Clinger-Cohen Act of 1996. Acq Reform in Action. Legislation and Policies. Clinger-Cohen Act |. In 1996, recognizing the importance of information technology for effective government, the Congress and President enacted the Information Technology Management Reform Act and the Federal Acquisition.

**Requirement Source:** 40USC-1401(ref (x))

**Special Note:** (All IT including NSS)

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### AC 2.3.11 (Phase A-CAD) National Environmental, Policy Act Schedule

42 USC 4321, The Congress, recognizing the profound impact of man's activity on the interrelations of all components of the natural environment, particularly the profound influences of population growth, high-density urbanization, industrial expansion, resource exploitation, and new and expanding technological advances and recognizing further the critical importance of restoring and maintaining environmental quality to the overall welfare and development of man, declares that it is the continuing policy of the Federal Government, in cooperation with State and local governments, and other concerned public and private organizations, to use all practicable means and measures, including financial and technical assistance, in a manner calculated to foster and promote the general welfare, to create and maintain conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations of Americans.

(b) In order to carry out the policy set forth in this chapter, it is the continuing responsibility of the Federal Government to use all practicable means, consistent with other essential considerations of national policy, to improve and coordinate Federal plans, functions, programs, and resources to the end that the Nation may -- (1) fulfill the responsibilities of each generation as trustee of the environment for succeeding generations; (2) assure for all Americans safe, healthful, productive, and esthetically and culturally pleasing surroundings; (3) attain the widest range of beneficial uses of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences; (4) preserve important historic, cultural, and natural aspects of our national heritage, and maintain, wherever possible, an environment which supports diversity and variety of individual choice; (5) achieve a balance between population and resource use which will permit high standards of living and a wide sharing of life's amenities; and (6) enhance the quality of renewable resources and approach the maximum attainable recycling of depletable resources.

(c) The Congress recognizes that each person should enjoy a healthful environment and that each person has a responsibility to contribute to the preservation and enhancement of the environment.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 42 USC 4321 (reference (aa))

**Special Note:** (If program initiated)

## Section 2: Concept and Technology Development

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### AC 2.3.12 (Phase A - CAD) Registration of Mission-critical and Mission-essential Information Systems

All mission critical and mission essential information systems shall be registered with the DoD CIO in accordance with procedures in Appendix G, before Milestone B approval or program initiation, whichever is earlier. The information required to be submitted as part of this registration shall be updated not less than quarterly.

The IT Registry is an enterprise-wide, web-enabled, secure server operation via NIPRNET and SIPRNET. The use of the IT Registry is required for all mission critical information systems and mission essential information systems. The database must be loaded in an automated process from the reporting agency's local CIO database and/or updated interactively on-line through the secure web interface provided. After the initial submission, the data shall be updated not less than quarterly.

The following procedures are required to obtain an account for the IT Registry:

1. Register on the NIPRNET at <https://www.itdb.c3i.osd.mil> or on the SIPRNET at <http://207.85.97.11>. If all the data is unclassified, the NIPRNET site is recommended for registration.
2. The IT Registry homepage provides a link for new users to register.
3. Complete the application form for new users.
4. Upon verification of identity, the new user will be granted access to the database.

DoD Service and Agency Components will be able to update and query the data they provided through a secure web interface. Each Service and Agency Component's current IT Registry POC will have authorization to provide user IDs and access to the secure web interface for any user in its management chain. The DoD Deputy Chief Information Officer has the responsibility for the development, upgrade, and maintenance of the IT Registry. Direct questions and requests for user manuals to that organization. The IT Registry web site has user manuals for download.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Pub L. 106-259, Section 8102 (ref (u)); Pub L. 106-398, Section 811 (ref (u));

**Special Note:** (If program initiated)

## Section 2: Concept and Technology Development

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### AC 2.3.13 (Phase A-CAD) C4I Support Plan

C4I Support Plan Updated Includes Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Support considerations in the weapon system development process for all levels. The trend in modern warfare is toward the increased use of smart weapons and the integration of Command, Control, Computers, and Communications (C4) systems with Intelligence, Surveillance, and Reconnaissance (ISR) systems to maximize combat effectiveness. The complexity and cost of these integrated combat support systems are such that judgments regarding their design and procurement should be supported by the end-to-end analysis of the data/intelligence and infrastructure required to employ these new systems. Moreover, the results of this analysis should support the acquisition process; a specific goal is to incorporate C4I infrastructure early on into the acquisition design space, particularly with regard to overall system efficiency and supportability (i.e., consider the C4I infrastructure during design tradeoffs, in a manner similar to the consideration given the logistics infrastructure). Accordingly, the C4I Support Plan (C4ISP) evolved as a tool to identify, plan, and manage implementation issues related to C4I infrastructure to support intelligence and interoperability certification for each program's Milestone Decision. Overall, the planning process should provide a thoughtful approach toward defining requirements, identifying shortfalls, and proposing solutions and their costs.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 2: Concept and Technology Development

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### AC 2.3.14 (Phase A- CAD) Component Advanced Development Exit Criteria

DoD5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Exit Criteria Program specific accomplishments that must be satisfactorily demonstrated before a program can progress further in the current acquisition phase or transition to the next acquisition phase. The exit criteria shall serve as gates that, when successfully passed or exited, demonstrate that the program is on track to achieve its final program goals and should be allowed to continue with additional activities within an acquisition phase or be considered for continuation into the next acquisition phase. Exit criteria are some level of demonstrated performance outcome (e.g., level of engine thrust), the accomplishment of some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion (e.g., establishment of a training program or inclusion of a particular clause in the follow-on contract) that indicates that aspect of the program is progressing satisfactorily.

The project shall exit Component Advanced Development when a system architecture has been developed and the component technology has been demonstrated in the relevant environment or the MDA decides to end this effort. This effort is intended to reduce risk on components and subsystems that have only been demonstrated in a laboratory environment and to determine the appropriate set of subsystems to be integrated into a full system. This work effort normally will be funded only for the advanced development work. The work effort will be guided by the validated MNS, but during this activity, an ORD shall be developed to support program initiation. Also, acquisition information necessary for a milestone decision (e.g., the acquisition strategy, program protection plan, etc.) shall be developed.

This effort is normally followed by entry into the System Development and Demonstration phase after a Milestone B decision by the MDA.

**Requirement Source:** DoD 5000.2; (USC2220(a)(1)128); (CCA 129); DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

## Section 3: System Development and Demonstration

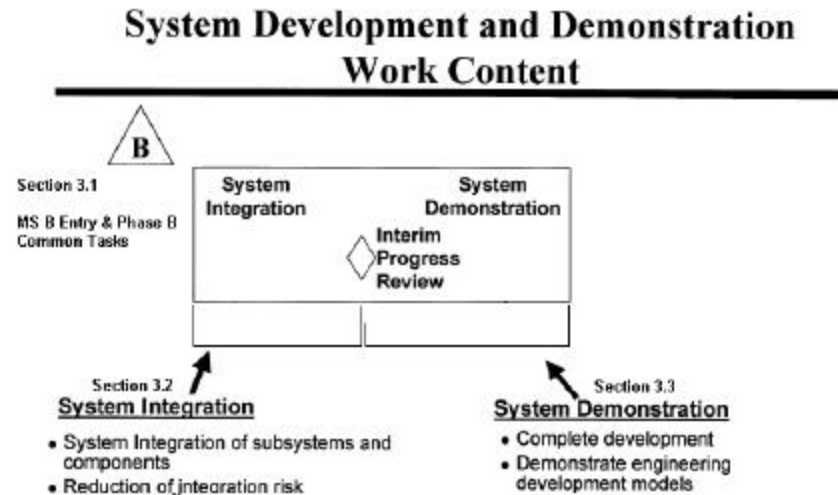
### AC 3 (Phase B) System Development and Demonstration

The purpose of the System Development and Demonstration phase is to develop a system, reduce program risk, ensure operational supportability, design for producibility, ensure affordability, ensure protection of Critical Program Information, and demonstrate system integration, interoperability, and utility. Discovery and development are aided by the use of simulation-based acquisition and test and evaluation and guided by a system acquisition strategy and test and evaluation master plan (TEMP). System modeling, simulation, test, and evaluation activities shall be integrated into an efficient continuum planned and executed by a test and evaluation integrated product team (T&E IPT). This continuum shall feature coordinated test events, access to all test data by all involved Agencies, and independent evaluation of test results by involved Agencies. Modeling, simulation, and development test shall be under the direct responsibility of the PM or a designated test agency. All results of early operational assessments shall be reported to the Service Chief by the appropriate operational test activity and used by the MDA in support of decisions. The independent planning, execution, and evaluation of dedicated Initial Operational Test and Evaluation (IOT&E), as required by law, and Follow-on Operational Test and Evaluation (FOT&E), if required, shall be the responsibility of the appropriate operational test activity (OTA).

Milestone B approval can lead to System Integration or System Demonstration. Regardless of the approach recommended, PMs and other acquisition managers shall continually assess program risks. Risks must be well understood, and risk management approaches developed, before decision authorities can authorize a program to proceed into the next phase of the acquisition process. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The types of risk include, but are not limited to, schedule, cost, technical feasibility, threat, risk of technical obsolescence, security, software management, dependencies between a new program and other programs, and risk of creating a monopoly for future procurements.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



## Section 3: System Development and Demonstration

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### AC 3.1 (Phase B) Milestone B / Phase B entrance criteria

Milestone B approval can lead to System Integration or System Demonstration. Regardless of the approach recommended, PMs and other acquisition managers shall continually assess program risks. Risks must be well understood, and risk management approaches developed, before decision authorities can authorize a program to proceed into the next phase of the acquisition process. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The types of risk include, but are not limited to, schedule, cost, technical feasibility, threat, risk of technical obsolescence, security, software management, dependencies between a new program and other programs, and risk of creating a monopoly for future procurements.

DoD 5000.2-R, Milestone decision points shall initiate programs and authorize entry into the major acquisition process phases: Concept and Technology Development, System Development and Demonstration, and Production and Deployment. The information specified in DoDI 5000.2, Enclosure 3, (reference (b)) shall support milestone reviews.

DoDI 5000.2, para 4.7.1.8. While a materiel alternative may enter acquisition at multiple points, the appropriate point is guided by the ability to satisfy stated entrance criteria, the content of each work effort within a phase, and the considerations at each milestone. Entrance criteria are minimum accomplishments required to be completed by each program prior to entry into the next phase or work effort.

Milestone B / Phase B entrance criteria . Milestone B is normally the initiation of an acquisition program. The purpose of Milestone B is to authorize entry into System Development and Demonstration. Milestone B approval can lead to System Integration or System Demonstration. Regardless of the approach recommended, PMs and other acquisition managers shall continually assess program risks. Risks must be well understood, and risk management approaches developed, before decision authorities can authorize a program to proceed into the next phase of the acquisition process. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The types of risk include, but are not limited to, schedule, cost, technical feasibility, risk of technical obsolescence, software management, dependencies between a new program and other programs, and risk of creating a monopoly for future procurements.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000; DoD 5000.2-R 4 Jan 2001

**Special Note:** N/A

## Section 3: System Development and Demonstration

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### AC 3.1.1 (Phase B) Acquisition Decision Mem (ADM)

The Acquisition Decision Memorandum (ADM) documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R, Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity.

The Defense Acquisition Executive (DAE) will normally sign an Acquisition Decision Memorandum (ADM) following either (1) the Defense Acquisition Board (DAB) Readiness Meeting (DRM), if no issues warrant a DAB review, or (2) the DAB review. There are two basic purposes for an Acquisition Decision Memorandum (ADM): (1) to record the decision made by the DAE; and (2) to provide direction to the Component, Program Manager (PM), or other action addressees.

The DAE objective is to sign the ADM within 48 hours following the DRM or DAB decision; therefore, certain expedited procedures will apply. Immediately following the decision, the DAB Executive Secretary, working in conjunction with the OIPT Leader, will prepare a draft ADM. The DAB Executive Secretary will expedite draft ADM delivery to the DAB Principals, attending senior advisors, and DRM participants, for a 24-hour turn-around for "verification of accuracy." Normally, no response will be taken as a concurrence. The ADM package will also transmit any other documents (including attachments) that require DAE signature or approval, such as the APB, exit criteria, acquisition strategy or changes thereto, or portions of a multi-purpose document.

ADMs are based on the proposals of the Component, recommendations of the Overarching Integrated Product Team (OIPT), and the decision of the DAE at the DRM or DAB review. Items not discussed at the DRM or DAB review, or not explicitly decided by the DAE, will not be included in the ADM.

The DAB Executive Secretary will ensure that an ADM recording the decision to proceed beyond Low Rate Initial Production (LRIP) is not signed until the Beyond LRIP and Live Fire Test and Evaluation (LFT&E) reports are received by the Congressional Defense Committees, in accordance with 10 USC 2399 and 10 USC 2366 respectively. He will also ensure that an ADM recording the decision to enter into engineering and manufacturing development or production and deployment is not signed unless an independent estimate of the full life-cycle cost of the program and a manpower estimate for the program have been completed and considered by the DAE, in accordance with 10 USC 2434. The DAB Executive Secretary will provide the DAB members and senior advisors a copy of the signed ADM. Also, the DAB Executive Secretary will coordinate with OASD(PA) the preparation of any press release concerning the ADM. DoD 5000.2, para 7.8.1 The Defense Acquisition Executive (DAE) shall conduct DAB reviews at major program milestones and at the Full-Rate Production Decision Review (if not delegated to the CAE), and at other times, as necessary. An Acquisition Decision Memorandum (ADM) shall document the decision(s) resulting from the review.

MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

**Requirement Source:** part 5.2.1 of DoD 5000.2-R; DoD 5000.2; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A



## Section 3: System Development and Demonstration

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### AC 3.1.2 (Phase B) Identification of IPT/OIPT/WIPT Membership

Generally speaking, members of previous ICT teams will transition to be members of the appropriate IPT.

Identification of IPT/OIPT/WIPT Membership Fundamental change in the DoD acquisition culture is underway and requires individuals and organizations to change from a hierarchical decision-making process to one where decisions are made across organizational structures by multi-disciplinary teams known as Integrated Product Teams (IPTs). Successful PMs must be leaders who can create a vision for their program, translate this into concrete missions, break these down into critical success factors (goals), and nurture and develop (via empowerment and teamwork) the IPT's to successfully execute acquisition programs. Under DoDD 5000.1 and DoD Regulation 5000.2-R, the preferred management technique for use by a PM is known as Integrated Process and Product Development (IPPD). The goals of IPPD are to integrate all acquisition activities starting with requirements definition through production, fielding/deployment, and operational support in order to optimize the design, manufacturing, business, and supportability processes. IPPD is an expansion of concurrent engineering, and it simultaneously integrates all essential acquisition activities through the use of IPTs.

DoD 5000.2-R (Interim), T&E planning shall begin during the Concept and Technology Development Phase. The PM shall form the T&E Working-Level Integrated Product Team (WIPT). Representatives from the DT&E (contractor and government), OT&E, LFT&E, and intelligence communities shall support the WIPT. If a project or program enters the acquisition process later than concept and technology development, the PM shall form the WIPT prior to entering the acquisition process. A T&E WIPT can be useful for a pre-system acquisition activity (e.g., an advanced concept technology demonstration, an advanced technology demonstration, or joint warfighting experimentation) that have a likelihood of becoming an acquisition program. A continuous T&E WIPT can help ensure a smooth transition, and can be used to prepare the initial TEMP. The early integration of T&E with program management ensures a test strategy consistent with and supportive of the acquisition strategy.

**Requirement Source:** DoD 5000.2-R (Interim) 4 Jan 2001; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 3.1.3 (Phase B) Consideration of Technology Issues

Consideration of Technology Issues In order to achieve the best possible system solution, emphasis will be placed on innovation and competition. To this end, participation by a diversified range of businesses (i.e., small, new, domestic, and international) should be encouraged. Alternative system design concepts will be primarily solicited from private industry and, where appropriate, from organic activities, international technology and equipment firms, Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations. Technical Evaluation The study, investigations, or test and evaluation (T&E) by a developing agency to determine the technical suitability of materiel, equipment, or a system, for use in the military services.

**Requirement Source:** 10USC-2364 (ref(w))

**Special Note:** N/A

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### AC 3.1.4 (Phase B) Operational Requirements Document (ORD) Updated

AR25-1, Process analysis and improvements for warfighting requirements will be documented in the mission needs statement (MNS) and operational requirements document (ORD). The doctrine, training, leader development, organizational design, materiel, and soldiers (DTLOMS) requirements methodology will be used. See AR 71-9 and TRADOC Pamphlet 71-9 for information on the requirements generation process. Process analysis and revision will be accomplished before submitting a MNS or ORD.

DoDI 4630.8, A statement containing performance (operational effectiveness and suitability) and related operational parameters for a proposed concept or system.

CJCS Instr 3170.01A, Operational Requirements Document (ORD) Updated Operational Requirements Document (ORD) Documents the user's objective (desired) and threshold (minimum acceptable) level of requirements for operational performance of a proposed concept or system. Format is contained in Appendix II, DoD 5000.2-R.

DoD 5000.2-R (Interim), In establishing realistic objectives, the user shall treat cost as a military requirement. The acquisition community, including technology and logistics, and the requirements community shall use the CAIV process to develop total ownership cost (TOC), schedule, and performance thresholds and objectives. They shall address cost in the Operational Requirements Document (ORD), and balance mission needs with projected out-year resources, taking into account anticipated process improvements in both DoD and defense industries (GPRA2 and CCA3). CAIV trades shall consider the cost of delay and the potential for early operational capability.

DoD 5000.4-M, The cost estimates should include all sunk costs and a projection for all categories of the life-cycle costs for the total planned program required to respond to the need as defined in the Mission Needs Statement (MNS), and delineated in the Operational Requirements Document (ORD), System Threat Assessment Report (STAR), Acquisition Program Baseline (APB), and Test and Evaluation Master Plan (TEMP), (DoD 5000.2-M (reference (b))),

DoDI 5000.56 Mapping, Charting, and Geodesy (MC&G) requirements are to be defined in the Operational Requirements Document (ORD) for Milestone I and subsequent Milestones, as provided in reference (e). Consequently, as a "infrastructure support" component, MC&G requirements are subject to consideration at all system milestone reviews. Using the MC&G requirements defined in the ORD, the DMA and the applicable DoD Component(s) shall follow the procedures in section 5., below, to identify any unique product requirements and to program funding support.

**Requirement Source:** AR25-1; CJCS Instr 3170.01A, (ref (I)); DoDI 4630.8 18 November 1992; DoD 5000.2-R (Interim) 4 Jan 2001; DoD 5000.4-M Dec 92; DoDI 5000.56 11 September 1991

**Special Note:** N/A

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#### **AC 3.1.5 (Phase B) Integrated Logistics Support (ILS)**

Integrated Logistics Support (ILS) AR700-127 The ILS program objectives will be established with an overall objective of reducing total ownership cost (TOC) within the mission area. The specific goal/objective of the ILS program is to introduce and sustain fully supportable materiel systems in current and projected environments that meet established operational and system readiness objectives (SRO) at minimum LCC. Integrated logistics support is an inherent part of the system engineering process. It includes efforts to design, introduce, and sustain materiel systems that conform to the capabilities and limitations of military and civilian personnel who operate and maintain those systems. This also includes improving logistics standardization and interoperability (S&I) of materiel within DA, other Services, and Allied Nations.

Elements Include: Maintenance Planning; Design Interface; Manpower & Personnel Elements; Supply Support; Support Equipment; Training and Support; Technical Data; Computer Resources; Facilities; and Packing, Handling, Storage & Transportation.

**Requirement Source:** AR700-127

**Special Note:** N/A

#### **AC 3.1.6 (Phase B) Funds Management/Programming (BA Type 6.4/BA Type- 6.5)**

Type 6.4 Engineering Manufacturing Development (EMD): Includes all development efforts in the EMD acquisition phase. Type 6.5 Management and Support includes support of organizations, people, and facilities required for general research and development activities not funded under the Working Capital Funds concept. Test ranges, maintenance and support of laboratories, operations and maintenance of test aircraft and ships, and study and analyses in support of Research and Development programs funded by operations and maintenance are included.

**Requirement Source:** Program Budget and Accounting System (PBAS)

**Special Note:** N/A

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#### AC 3.1.7 (Phase B) Test and Evaluation Master Plan (TEMP)

NCSC-TG-024-1, 5.4.1 Test and Evaluation Master Plan (Temp) The TEMP is the primary planning document for T&E. The TEMP is required for all acquisitions. The TEMP should describe the T&E strategy, responsibilities, types of testing, required resources, planned test locations, and milestone schedules. The TEMP is a living document and must be updated as changes occur. From the security standpoint, the ST&E must be explicitly addressed in the TEMP. This is done by tasking the Contractor in the Statement of Work and invoking a CDRL that calls for an a ST&E Annex to the TEMP. A matrix can be used to identify selected security disciplines to be tested.

DoDI 5000.2, Test and Evaluation Master Plan (TEMP) Documents the overall structure and objectives of the test and evaluation (T&E) program. It provides a framework within which to generate detailed T&E plans and it documents schedule and resource implications associated with the T&E program. The TEMP identifies the necessary developmental test and evaluation (DT&E), operational test and evaluation (OT&E) and live fire test and evaluation (LFT&E) activities. It relates program schedule, test management strategy and structure, and required resources to: critical operational issues (COIs); critical technical parameters; objectives and thresholds documented in the Operational Requirements Document (ORD); evaluation criteria; and milestone decision points. For multi-service or joint programs, a single integrated TEMP is required. Component-unique content requirements, particularly evaluation criteria associated with COIs, can be addressed in a component-prepared annex to the basic TEMP.

DoDD 5000.2-R, The PM shall design DT&E objectives appropriate to each phase and milestone of an acquisition program. The Operational Test Agency (OTA) shall design OT&E objectives appropriate to each phase and milestone of a program, and submit them to the PM for inclusion in the Test and Evaluation Master Plan (TEMP). Completed, independent OT&E and completed LFT&E shall support a beyond low-rate initial production (LRIP) decision for acquisition category (ACAT) I and II programs for conventional weapons systems designed for use in combat. For this purpose, OT&E shall require more than an operational assessment (OA) based exclusively on computer modeling, simulation, or an analysis of system requirements, engineering proposals, design specifications, or any other information contained in program documents. (10 USC 239959 and 10 USC 236660)

**Requirement Source:** NCSC-TG-024-1 Volume 1 of 4 (Version 1) December 1992; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoDD 5000.2-R

**Special Note:** N/A

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**AC 3.1.8 (Phase B) Conduct Market Research**

Market Research activities play a critical role in requirements definition, leading to potential design alternatives. During the requirements definition stage of an acquisition, market research can help to identify possible alternatives for satisfying mission needs. With a needs statement described in terms of essential performance and functional characteristics, the marketplace can be explored to determine whether sources exist that can meet them. This type of market research will also identify industry capability in terms of current and emerging technologies as well as manufacturers' processes, production methods and controls - results that can make a valuable contribution to the final design requirements. 10 USC 2377 requires the conduct of market research before developing new specifications for a procurement.

**Requirement Source:** 10USC-2377 (ref(jj))

**Special Note:** N/A

**AC 3.1.9 (Phase B) Full Funding of DAB Programs**

Full Funding of DAB & MAISRC Programs in accordance with the Clinger-Cohen Act (CCA) (reference (k)). The DoD CIO shall issue guidance describing minimum criteria for CCA compliance, but at a minimum, the Head of the Component or designee shall certify that the program is fully funded.

The work shall be guided by the MNS.

Para 4.7.2.4.3.3, DoDI 5000.2

**Requirement Source:** Clinger-Cohen Act (CCA) (reference (k)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

**AC 3.1.10 (Phase B) MANPRINT**

MANPRINT influences the initial functional allocation of tasks between people, hardware, and software. MANPRINT must also be considered in establishing logistics-related design constraints and readiness requirements. Human performance capabilities must be considered when determining system performance requirements. The entire process of integrating the full range of human-factor engineering, manpower, personnel, training, health hazard assessment, system safety, and soldier survivability throughout the materiel development and acquisition process to ensure optimum total system performance.

AR700-127 ... when the product manager (PM) is appointed, if earlier (AR 70-1), assign an ILSM (preferably the Pre-MDR I ILSM designated to work with the CBTDEV) to the system acquisition program. The ILSM will establish or assume the chair of the SIPT at that time. The ILS manager will also serve as the MANPRINT manager when the size and complexity of the program permit.

**Requirement Source:** AR700-127, AR 70-1; AR 602-2 Manpower and Personnel Integration (MANPRINT) in the Materiel Acquisition Process.

**Special Note:** N/A

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### AC 3.1.11 (Phase B) The Acquisition Program Baseline (APB)

DoD 5000.2-R (Interim), Every acquisition program shall establish an APB beginning at program initiation. The PM shall base the APB on users' performance requirements, schedule requirements, and estimate of total program cost. Performance shall include interoperability, supportability and, as applicable, environmental requirements. The department shall not obligate funds for ACAT I or ACAT IA programs beyond Milestone B until the MDA approves the APB, unless the Under Secretary of Defense (Acquisition, Technology and Logistics (USD(AT&L)) (for ACAT I) or the Assistant Secretary of Defense (Command, Control, Communications and Intelligence) (ASD(C3I)) (for ACAT IA) specifically approves the obligation (10 USC 2435(b)5). The APB satisfies requirements derived from both 10 USC 2220(a)(1)6 and 10 USC 2435.

The Acquisition Program Baseline at a minimum contain:

**Performance.** The total number of performance parameters shall be the minimum number needed to characterize the major drivers of operational performance, supportability, and interoperability (10 USC 2435). This minimum number shall include the KPPs identified in the ORD. The value of a threshold or objective in the APB shall not differ from the value for a like threshold or objective in the ORD, and their definitions shall be consistent. The MDA may add additional performance parameters not validated by the JROC. The number and specificity of performance parameters increase with time. Early in a program the PM shall use a minimum number of broadly defined, operational-level, measures of effectiveness or performance to describe needed capabilities. As program, system level requirements become better defined, the PM may designate a limited number of additional, specific, program parameters, as necessary.

**Schedule.** Schedule parameters shall minimally include dates for program initiation, major decision points, and the attainment of initial operating capability. The PM may propose, for MDA approval, other, specific, critical, system events, as necessary. In accordance with 10 USC 1817 the JROC shall evaluate program schedule criteria, including critical schedule dates, for ACAT I programs.

**Cost.** Cost parameters shall identify TOC (broken-out into direct costs: research, development, test, and evaluation costs, procurement costs, military construction costs, operations and support costs (to include environmental, safety, and occupational health compliance costs), and the costs of acquisition items procured with operations and maintenance funds, if applicable; indirect costs attributable to the systems; and infrastructure costs not directly attributable to the system); total quantity (including both fully configured development and production units) costs; average procurement unit cost (defined as the total procurement cost divided by total procurement quantity); program acquisition unit cost (defined as the total of all acquisition related appropriations divided by the total quantity of fully configured end items); and other cost objectives designated by the MDA. For reporting purposes, the PM shall use life-cycle costs as defined in DoD 5000.4-M8. The PM shall present cost figures in base year dollars.

Cost figures shall initially reflect realistic estimates of the total program, including a thorough assessment of risk. As the program progresses, the PM shall refine procurement costs based on contractor actual (return) costs from component advanced development, system integration, and system demonstration, as available, and from low-rate initial production. The PM shall include the refined estimate in the next required submittal of the APB. Budgeted amounts shall not exceed the total cost thresholds in the APB. For ACAT IA programs, ACAT I cost parameters shall apply with the addition of military pay and the cost of acquisition items procured with Defense Working Capital Funds. The JROC shall evaluate program cost criteria for ACAT I programs (10 USC 181).

**Requirement Source:** 10USC-2364 (ref(hh)); 10 USC 2220(a)(1)6 and 10 USC 2435. DoD 5000.2-R (Interim) 4 Jan 2001; 10 USC 2220(a)(1)6; 10 USC 2435; 10 USC 181; DoD Manual 5000.4-M

**Special Note:** (If program initiated in Phase A, Updated as needed)

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#### AC 3.1.12 (Phase B) Acquisition Strategy (11 elements)

If Program was initiated in Phase A, Acquisition Strategy (11 elements) will be Updated as required by the PM during this phase. If not, the PM will submit an Acquisition Strategy for approval to the MDA. A plan that documents the acquisition planning process and provides a comprehensive approach for achieving goals established in materiel requirements. It summarizes other management planning documents (including the ILSP), Government-furnished materiel to be provided, the acquisition strategy, organizational resources (money, time, people), and schedule.

Acquisition Strategy is a plan that serves as a roadmap for program execution from program initiation through post production support. ACAT I and IA Programs must contain information on: Open Systems Objectives, Sources, Risk Management, CAIV, Contract Approach, Management Approach, Environmental Considerations, Safety and Health Considerations, Modeling and Simulation, Source of Support, Warranties, and Government Property in pos-session of Contractors.

Note 1: AS PART OF ACQ STRATEGY: Competition Analysis (\$3M rule) 10USC 2469 (reference xx))

The Secretary of Defense shall ensure that the performance of a depot-level maintenance and repair workload described in subsection (b) is not changed to performance by a contractor or by another depot-level activity of the Department of Defense unless the change is made using -- (1) merit-based selection procedures for competitions among all depot-level activities of the Department of Defense; or (2) competitive procedures for competitions among private and public sector entities.

Note 2: AS PART OF ACQ STRATEGY: Industrial Capabilities (N/A for AISs) 10USC 2440 (reference nn)) The Secretary of Defense shall prescribe regulations requiring consideration of the national technology and industrial base in the development and implementation of acquisition plans for each major defense acquisition program.

Note 3: AS PART OF ACQ STRATEGY: Cooperative Opportunities 10USC2350a (reference t)) The Secretary of Defense may enter into a memorandum of understanding (or other formal agreement) with one or more major allies of the United States or NATO organizations for the purpose of conducting cooperative research and development projects on defense equipment and munitions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated in Phase A, Updated as needed)

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**AC 3.1.13 (Phase B) Acquisition Logistics Technical and management activities**

Acquisition Logistics Technical and management activities conducted to ensure supportability implications are considered early and throughout the acquisition process to minimize support costs and to provide the user with the resources to sustain the system in the field.

For each weapon system acquisition program, materiel managers shall designate a focal point to participate in acquisition logistics planning. The focal point shall represent the materiel management community on integrated product teams and acquisition logistics management teams and provide supply management contract requirements, technical and quality data, and historical supply data, as required.

The PM shall conduct acquisition logistics management activities throughout the program life cycle. When using an evolutionary acquisition strategy, acquisition logistics activities shall address performance and support requirements for both the total life cycle and for each block, and shall consider and mitigate the impact of system variants or variations. The supportability of the design(s) and the acquisition of systems shall be cost-effective and shall provide the necessary infrastructure support to achieve peacetime and wartime readiness requirements. Supportability considerations shall be integral to all trade-off decisions.

**Requirement Source:** DoD 4140.1-R DoD Materiel Management Regulation, May 1998; DoD 5000.2-R (Interim) Mandatory Procedures for Major Defense Acquisition Programs (MDAPs) and Major Automated Information System (MAIS) Acquisition Programs 4 January 2001

**Special Note:** N/A

**AC 3.1.14 (Phase B) Independent Estimate of Life -Cycle Cost (n/a for AIS) (MDAPs Only)**

Independent Estimate of Life-Cycle Cost (n/a for AIS) (MDAPs Only) Independent Cost Estimate (ICE) A life cycle cost estimate for ACAT I programs prepared by an office or other entity that is not under the supervision, direction, or control of the military department, defense agency, or other component of the DoD that is directly responsible for carrying out the development or acquisition of the program, or if the decision authority has been delegated to a Component, prepared by an office or other entity that is not directly responsible for carrying on the development or acquisition of the program.

**Requirement Source:** 10USC-2434 (ref(oo))

**Special Note:** (n/a for AIS) (MDAPs Only)



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### AC 3.1.15 (Phase B) Program Office Estimate (POE)

5000.4-M Dec 92, DoD Instruction 5000.2 and DoD 5000.2-M (references (a) and (b)) require that both a program office estimate (POE) and a DoD component cost analysis (CCA) estimate be prepared in support of acquisition milestone reviews. As part of this requirement, reference (b) specifies that the DoD Component sponsoring an acquisition program establish, as a basis for cost-estimating, a description of the salient features of the program and of the system being acquired. This information is presented in a Cost Analysis Requirements Description (CARD). Chapter 2 of this Manual provides more explicit instructions regarding CARD submission schedules, but it does not provide guidance on the content of CARDS. That guidance is provided here.

Program Office Estimate (POE) (life-cycle costs A detailed estimate of acquisition and ownership costs normally required for high level decisions. The estimate is performed early in the program and serves as the basepoint for all subsequent tracking and auditing purposes.

**Requirement Source:** 5000.4-M Dec 92; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 3.1.16 (Phase B) Life Cycle Cost Estimate (LCCE)

Life Cycle Cost (LCC) Estimate The total cost to the government of acquisition and ownership of that system over its useful life. It includes the cost of development, acquisition, operations, and support (to include manpower), and where applicable, disposal.

DoD 5000.2-R, The estimating activity shall explicitly base the LCCE (or EA for ACAT IA programs) on program objectives; operational requirements; contract specifications; careful risk assessments; and, for ACAT I programs, a DoD program work breakdown structure, or, for ACAT IA programs, a life-cycle cost and benefit element structure agreed upon by the IPT. The LCCE (or EA) shall be comprehensive. It shall identify all cost elements, including operation and support costs, that affect the decision to proceed with development or production of the system, regardless of funding source or management control.

The LCCE (or EA for ACAT IA programs) shall be consistent with the cost estimates in the AoA, and shall explain major changes that may have occurred. It shall present a realistic appraisal of the level of cost most likely to be realized. The manpower estimates underpinning operation and support costs shall be consistent with the manpower estimate of section 4.4. The LCCE for ACAT IA programs shall include life-cycle benefits as well as life-cycle costs (CCA and PRA).

For an ACAT IA program, the PM shall develop and use the life-cycle benefits estimate portion of the EA to identify and project both mission and system benefits. Mission benefits include both quantitative monetary benefits, such as reduced operating costs; as well as non-monetary benefits, such as improved efficiency or functionality. System benefits also include both monetary and non-monetary benefits, such as reduced total ownership cost or higher reliability.

**Requirement Source:** DoD 5000.2-R (Interim) 4 January 2001

**Special Note:** N/A

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### AC 3.1.17 (Phase B) Unit Cost Report (UCR) MDAPs Only

(MDAPs only) The program manager for a major defense acquisition program (other than a program not required to be included in the Selected Acquisition Report for that quarter under section 2432(b)(3) of this title) shall, on a quarterly basis, submit to the service acquisition executive designated by the Secretary concerned a written report on the unit costs of the program. Each report shall be submitted not more than 30 calendar days after the end of that quarter.

The program manager shall include in each such unit cost report the following information with respect to the program (as of the last day of the quarter for which the report is made): (1) The program acquisition unit cost. (2) In the case of a procurement program, the procurement unit cost. (3) Any cost variance/schedule variance in a major contract under the program since the contract was entered into.

(4) Any changes from program schedule milestones or program performances reflected in the baseline description established under section 2435 of this title that are known, expected, or anticipated by the program manager.

(c) If the program manager of a major defense acquisition program for which a unit cost report has previously been submitted under subsection (b) determines at any time during a quarter that there is reasonable cause to believe - (1) that the program acquisition unit cost for the program has increased by at least 15 percent over the program acquisition unit cost for the program as shown in the Baseline Estimate; (2) in the case of a major defense acquisition program that is a procurement program, that the procurement unit cost for the program has increased by at least 15 percent over the procurement unit cost for the program as reflected in the Baseline Estimate; or (3) that cost variances or schedule variances of a major contract under the program have resulted in an increase in the cost of the contract of at least 15 percent over the cost of the contract as of the time the contract was made; and if a unit cost report indicating an increase of such percentage or more has not previously been submitted to the service acquisition executive designated by the Secretary concerned during the current fiscal year (other than the last quarterly unit cost report under subsection (b) for the preceding fiscal year), then the program manager shall immediately submit to such service acquisition executive a unit cost report containing the information, determined as of the date of the report, required under subsection (b).

(d) --(1) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program, the service acquisition executive shall determine whether the current program acquisition unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the program acquisition unit cost for the program as shown in the Baseline Estimate. (2) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program that is a procurement program, the service acquisition executive, in addition to the determination under paragraph (1), shall determine whether the current procurement unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the procurement unit cost for the program as reflected in the Baseline Estimate. (3) If, based upon the service acquisition executive's determination, the Secretary concerned determines (for the first time since the beginning of the current fiscal year) that the current program acquisition unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (1) or that the procurement unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (2), the Secretary shall notify Congress in writing of such determination and of the increase with respect to such program. In the case of a determination based on a quarterly report submitted in accordance with subsection (b), the Secretary shall submit the notification to Congress within 45 days after the end of the quarter. In the case of a determination based on a report submitted in accordance with subsection (c), the Secretary shall submit the notification to Congress within 45 days after the date of that report. The Secretary shall include in the notification the date on which the determination was made.

**Requirement Source:** 10 USC 2433 (reference (mm)); DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

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**AC 3.1.18 (Phase B) Component Cost Analysis (CCA)**

Component Cost Analysis (CCA) A cost estimate prepared by an office or other entity of a military department that is outside the chain of command of that military department's authority responsible for developing or acquiring the program.

**Requirement Source:** Pub L. 106-79, Section 8121 (b) (ref(r)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (Mandatory for MAIS; as requested by CAE for MDAP)

**AC 3.1.19 (Phase B) Cost Analysis Requirements Description (CARD)**

Cost Analysis Requirements Description (CARD) A description of the salient features of the acquisition program and of the system itself. It is the common description of the technical and programmatic features of the program that is used by the teams preparing the program office, component cost analysis, and independent life cycle cost estimates.)

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

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### AC 3.1.20 (Phase B) Clinger-Cohen Act (CCA) Certification to Congressional Defense Committee for MAIS Requirement for certification prior to milestone approval for MAISs only

The MDA shall not approve program initiation or entry into any phase that requires milestone approval (to include full-rate production) for an acquisition program (at any level) for a mission-critical or mission-essential IT system until the Component CIO confirms that the system is being developed in accordance with the Clinger-Cohen Act (CCA) (reference (m)). At a minimum, the Component CIO's confirmation shall include a written description of the following: 1. The acquisition supports core, priority functions that need to be performed by the Federal Government. 2. No private sector or government source can better support the function. 3. The processes that the system supports have been redesigned to reduce costs, improve effectiveness and maximize the use of COTS technology. 4. An analysis of alternatives has been conducted. 5. For AIS, an economic analysis has been conducted that includes a calculation of the return on investment; or for non-AIS programs, an LCCE has been conducted. 6. There are clearly established measures and accountability for program progress. 7. Mission-related, outcome-based performance measures have been established and linked to strategic goals. 8. The program has an information assurance strategy that is consistent with DoD policies, standards, and Architectures. 9. The acquisition is consistent with the Global Information Grid policies and architecture, to include relevant standards. 10. To the maximum extent practicable, (1) modular contracting is being used, and (2) the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks. 11. The system being acquired is registered with the DoD CIO (see 5000.2-R, Appendix G).

For MDAP programs, the Component CIO's confirmation shall be provided to both the DoD CIO and the MDA.

For MAIS programs, the certification shall be submitted to the DoD CIO and will include a CCA Compliance Report that addresses the above items. The DoD CIO will review the CCA Compliance Report and certify to the Congressional defense committees that the MAIS is being developed in accordance with the CCA before approving program initiation or entry into any phase (including full-rate production) that requires a milestone approval, as required by Sec. 8102 of the FY 2001 Appropriations Act (reference u). For delegated MAIS programs, the MDA shall not approve program initiation or entry into any phase that requires milestone approval (including full-rate production) until the DoD CIO certifies CCA compliance to the congressional defense committees. The DoD CIO will issue guidance on procedures for submitting CCA compliance reports for MAIS. The CCA Compliance Report shall be submitted at least three months before the milestone approval is needed.

The requirement to confirm CCA compliance applies to milestone decisions for each block of an evolutionary acquisition. The requirements of the CCA apply to all IT (including NSS) acquisitions, but the CCA confirmation requirements described above apply only to mission critical and mission essential IT systems. For purposes of CAA certification (as required by Section 8102 of the FY 2001 DoD Appropriations Act (reference u)), all MAIS shall be considered mission critical or mission essential. The CCA certification requirement applies only to MAIS.

Para 4.7.3.2.3.2.1.1 through 4.7.3.2.3.2.4.

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Clinger-Cohen Act (CCA); Sec. 8102 of the FY 2001 Appropriations Act (reference u) Pub. L. 106-259 S 8102 (u)

**Special Note:** N/A

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**AC 3.1.21 (Phase B) Clinger-Cohen Act Compliance (All IT including NSS)**

Clinger-Cohen Act Compliance (All IT including NSS) Abstract: Clinger-Cohen Act of 1996. Acq Reform in Action. Legislation and Policies. Clinger-Cohen Act |. In 1996, recognizing the importance of information technology for effective government, the Congress and President enacted the Information Technology Management Reform Act and the Federal Acquisition.

**Requirement Source:** 40USC-1401et seq (ref (u)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (All IT including NSS)

**AC 3.1.22 (Phase B) Affordability Assessment**

Affordability Assessment is the ongoing assessment of a program to ensure that it is being executed within DoD planning and funding guidelines, has sufficient resources identified and approved in the Future Years Defense Program (FYDP), and is managed based on accurate cost and manpower data. Affordability decisions are made throughout the entire acquisition cycle.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

**AC 3.1.23 (Phase B) Overarching IPT (OIPT) Leader's Report)**

For ACAT ID and IAM programs, there are generally two levels of IPT: the OIPT and Working-Level IPTs (WIPTs). Each program shall have an OIPT and at least one WIPT. WIPTs shall focus on a particular topic such as cost/performance, test, or contracting. An Integrating IPT (IIPT) (which is a WIPT) shall coordinate WIPT efforts and cover all topics not otherwise assigned to another IPT. IPT participation is the primary way for any organization to participate in the acquisition program.

OIPT Leaders Report (Acat ID and IAM only) Overarching Integrated Product Team (OIPT). For ACAT IC, IAC, II, IIA, III, and IV programs, the MDA will establish an OIPT and designate a chairperson. The secretary/facilitator for ACAT I and II program OIPT will be the SARDA or DISC4 action officer (depending where Army Staff System Coordination resides). For ACAT III and IV programs, the MDA will identify the OIPT secretary/facilitator. OIPT membership will consist of empowered individuals appointed by: ASARC members (ACAT IC, or II programs); by Army MAISRC members (ACAT IAC and IIA programs); and the MDA (ACAT III and IV programs). Membership will be tailored to the needs and level of oversight required for the program.

**Requirement Source:** DoD 5000.2R, para 7.6

**Special Note:** (Acat ID and IAM only)

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**AC 3.1.24 (Phase B) OIPT Staff Assessments (Acat ID and IAM only)**

OIPT Staff Assessment (Acat ID and IAM only) The OIPT leader for ACAT ID programs shall provide an integrated assessment to the DAB chair, principals, and advisors at major program reviews and milestone decision reviews using information gathered through the IPT process. The leader's assessment shall focus on core acquisition management issues and shall take account of independent assessments that are normally prepared by OIPT members. These assessments are typically accomplished in the context of the OIPT review and shall be reflected in the OIPT Leader's report. There should be no surprises at this point, because all team members are already working the issues in real time, and they should be knowledgeable of their OIPT leader's assessment.

**Requirement Source:** DoD 5000.2R, section 7.6

**Special Note:** (Acat ID and IAM only)

**AC 3.1.25 (Phase B) Program Protection Plan (PPP)**

PMs shall identify critical elements of their program, referred to as Critical Program Information (CPI).

This applies to any acquisition program that requires protection to prevent unauthorized disclosure or inadvertent transfer of leading-edge technologies and sensitive data or systems, otherwise referred to as "compromise." CPI may be identified during the requirements generation process, may be integral to the program, may be inherited from a supporting program, or may result from acquisition techniques such as flexible technology insertion. For programs with CPI, the PM shall notify the Component servicing counterintelligence (CI) agency technology protection program manager of the identified CPI, and develop a Program Protection Plan (PPP) prior to Milestone B.

Each program shall have an integrated, comprehensive, and coherent PPP and process over the entire system life cycle. The adequacy and effectiveness of protection shall be reviewed at each milestone or decision point. The PM shall prioritize identified protection vulnerabilities based upon the mission consequences if the CPI is lost or compromised, allowing a foreign interest to exploit the CPI. Technology protection planning and development of the PPP shall begin early in the acquisition life cycle. The following considerations apply: Attempt to shape or influence the projected threat environment in a direction favorable to U.S. national security interests. Systems of extraordinary importance to the national security, such as space, strategic, and C4ISR systems, shall have particularly stringent protection requirements, planning, and oversight due to the broad, serious, and enduring consequences of degradation or loss to the National Command Authorities (NCA) and combatant commands.

The DoD Component CI organizations shall provide the PM with information concerning the vulnerabilities of a system to foreign intelligence capabilities and related threats. Security organizations shall identify system vulnerabilities and recommend cost-effective security measures using risk management evaluations. CI organizations shall offer a variety of tailored services to address threats posed by foreign intelligence services to an acquisition program. The PPP shall identify those CI services. DoD Component CI organizations will identify a CI point of contact (POC) for each program with CPI. Throughout the life of the program, based on field CI activities supporting the program, the CI POC shall provide updated threat and other CI information to the PM. As technology allows, systems engineering activities shall use encryption, packaging or bundling, and other tamper-proofing techniques to maximize CPI protection. Anti-Tamper techniques intended to prevent or delay exploitation of military critical technologies in

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**AC 3.1.25 Continued:**

weapons systems must be considered.

The PPP shall address information systems security, defensive information warfare, TEMPEST, personnel security, classification management, physical security, operations security, technology transfer, CI and international security requirements. Systems protection shall include: IA, Information Security, Anti-Terrorism, Counter-Terrorism, Force Protection, Continuity of Operations, Physical Security, Information Security, Operations Security, Threat Warning/Attack Assessment, Personnel Security, Foreign Disclosure, Technology Transfer, etc. The PM shall report a finding that no CPI exists to the MDA, if so determined. DoDD 5200.39126, DoD 5200.1-M127, and the DoD Technology Protection Handbook have more on technology, protection, and development of the PPP and anti-tamper.

**Requirement Source:** DoD 5000.2-R (Interim) 4 January 2001

**Special Note:** (Also summarized in Acquisition Strategy) (Based on validated requirements in ORD)

**AC 3.1.26 (Phase B) System Threat Assessment & Projections**

Prepared by a collaboration among the intelligence, requirements generation, and acquisition management communities to support program initiation (usually Phase B). It is maintained in a current and approved or validated status throughout the acquisition process.

NCSC-TG-024-1, 2.5.3.3 System Threat Assessment Report (Star) A threat assessment is required for all major programs. Historically, the STAR has not placed adequate emphasis on COMPUSEC. Identifying the threat of malicious logic attacks (e.g., viruses, worms, and Computer misuse) is important to the security of the system. The STAR will also be used as input to the System Threats and Vulnerabilities Risk Analysis required by DoD 5200.28-M. The user, or the security expert in the PMO or SPO, should contact the intelligence function to initiate the process. .

DoDI 5000.2, Prior to approving entry into System Development and Demonstration at Milestone B, the MDA shall consider the validated ORD, System Threat Assessment, independent technology assessment and any technology issues identified by DoD research facilities, any early operational assessments or test and evaluation results, analysis of alternatives including compliance with the Department of Defense's strategic plan (based on the Government Performance and Results Act (GPRA), reference (x)), the independent cost estimate or, for MAISs, component cost analysis and the economic analysis, manpower estimate (if applicable), whether an application for frequency allocation has been made (if the system will require utilization of the electromagnetic spectrum), system affordability and funding, the program protection for Critical Program Information, anti-tamper provisions, the Delegation of Disclosure Authority Letter (DDL) concerning foreign disclosure of program information vis-à-vis foreign participation in the program and/or sales of the system, the proposed acquisition strategy, cooperative opportunities, and infrastructure and operational support.

**Requirement Source:** NCSC-TG-024-1 Volume 1 of 4 (Version 1) December 1992; DoDD 5105.21 (ref (yy)); (Phase B) Clinger-Cohen Act Compliance (All IT including NSS)

**Special Note:** (N/A for AISs) (validated by DIA for ACAT ID programs)

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**AC 3.1.27 (Phase B) National Environmental, Policy Act Schedule**

42 USC 4321, The Congress, recognizing the profound impact of man's activity on the interrelations of all components of the natural environment, particularly the profound influences of population growth, high-density urbanization, industrial expansion, resource exploitation, and new and expanding technological advances and recognizing further the critical importance of restoring and maintaining environmental quality to the overall welfare and development of man, declares that it is the continuing policy of the Federal Government, in cooperation with State and local governments, and other concerned public and private organizations, to use all practicable means and measures, including financial and technical assistance, in a manner calculated to foster and promote the general welfare, to create and maintain conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations of Americans.

(b) In order to carry out the policy set forth in this chapter, it is the continuing responsibility of the Federal Government to use all practicable means, consistent with other essential considerations of national policy, to improve and coordinate Federal plans, functions, programs, and resources to the end that the Nation may -- (1) fulfill the responsibilities of each generation as trustee of the environment for succeeding generations; (2) assure for all Americans safe, healthful, productive, and esthetically and culturally pleasing surroundings; (3) attain the widest range of beneficial uses of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences; (4) preserve important historic, cultural, and natural aspects of our national heritage, and maintain, wherever possible, an environment which supports diversity and variety of individual choice; (5) achieve a balance between population and resource use which will permit high standards of living and a wide sharing of life's amenities; and (6) enhance the quality of renewable resources and approach the maximum attainable recycling of depletable resources.

(c) The Congress recognizes that each person should enjoy a healthful environment and that each person has a responsibility to contribute to the preservation and enhancement of the environment.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 42 USC 4321 (reference (aa))

**Special Note:** N/A



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### AC 3.1.28 (Phase B) Risk Assessment

The most important aspect of the Procurement Phase is managing the risk. Risk management limits the number of projects that will not meet the established goals. Before starting any procurement, the IPT should update the acquisition plan to ensure that the risk management techniques considered in the Planning Phase remain appropriate. Appendix Six further describes the risk management process. There are three key principles for managing risk when procuring capital assets. They are: 1. Avoiding or limiting the amount of development work; 2. Making effective use of competition and financial incentives; and 3. Establishing a performance-based acquisition management system.

Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. There are several types of risk an agency should consider as part of risk management. The types of risk include: schedule risk; cost risk; technical feasibility; risk of technical obsolescence; dependencies between a new project and other projects or systems (e.g., closed architectures); and risk of creating a monopoly for future procurement. Risk management is the responsibility of everyone on the IPT. It implies control of possible future events and is proactive rather than reactive. There are four elements of risk management. 1. Risk Assessment. The first step in risk management is to identify and assess all potential risk areas. A risk area is any part of a project where there is an uncertainty regarding future events that could have a detrimental effect on meeting the program goal. Risk assessment continues throughout the life cycle of a program. As the program progresses, previous uncertainties will become known and new uncertainties will arise.

2. Risk Analysis. Once risks are identified, each risk should be characterized as to the likelihood of its occurrence and the severity of potential consequences. Risk analysis will result in a "watch list" of potential areas of risk. The watch list may identify early warning signs that a problem is going to arise. As in risk assessment, risk analysis continues through the life cycle of the program; the watch list should be updated as appropriate.

3. Risk Treatment. After a risk has been assessed and analyzed, the agency should consider what to do about it. Alternatives include:

Transfer. The agency may transfer the risk to the contractor or some third party. It may be appropriate to transfer the risk to the contractor when it is in the best position to exercise effective control and manage the risk within economically reasonable bounds. At other times it may be more appropriate to transfer the risk to a third party (e.g., bonding, insurance).

Avoidance. When looking at the risks of achieving various solutions to an agency's needs, the program manager may determine that the risks of a particular solution are so great that the solution should be removed from further consideration and alternative solutions should be found.

Reduction. Another method for dealing with the risk is to take the necessary measures to minimize the likelihood that it will occur, minimize the damage to program goals should it occur (e.g., contingency plans), or both.

Assumption. The agency may choose to assume the risk if it is in the best position to exercise effective control, the probability of risk is small, or the potential damage is either minimal or too great for the contractor to bear. The decision should depend on whether the expected benefits of the project exceed the expected costs by enough to compensate the agency for assuming the risk. It may assume the risk through differing site conditions clause, or other means. As long as the program manager has done appropriate risk analysis and understands the situation, the agency may take the programmatic equivalent of an "I'll cross that bridge when I come to it" position. Effective risk management makes assumption of the risk a conscious decision rather than an oversight.

Sharing. When the risk cannot be appropriately transferred -- nor is it in the best interest of the agency to assume the risk -- the agency and contractor may share the risk. Such shared risks require extensive monitoring.

**Requirement Source:** OMB Cir-A11

**Special Note:** N/A

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### AC 3.1.29 (Phase B) Selected Acquisition Reports (SAR)

(1) The Secretary of Defense shall submit to Congress at the end of each fiscal-year quarter a report on current major defense acquisition programs. Except as provided in paragraphs (2) and (3), each such report shall include a status report on each defense acquisition program that at the end of such quarter is a major defense acquisition program. Reports under this section shall be known as Selected Acquisition Reports.

(2) A status report on a major defense acquisition program need not be included in the Selected Acquisition Report for the second, third, or fourth quarter of a fiscal year if such a report was included in a previous Selected Acquisition Report for that fiscal year and during the period since that report there has been- (A) less than a 15 percent increase in program acquisition unit cost and current procurement unit cost; and (B) less than a six-month delay in any program schedule milestone shown in the Selected Acquisition Report.

(3) -- (A) The Secretary of Defense may waive the requirement for submission of Selected Acquisition Reports for a program for a fiscal year if- (i) the program has not entered engineering and manufacturing development; (ii) a reasonable cost estimate has not been established for such program; and (iii) the system configuration for such program is not well defined.

(B) The Secretary shall submit to the Committees on Armed Services of the Senate and House of Representatives a written notification of each waiver under subparagraph (A) for a program for a fiscal year not later than 60 days before the President submits the budget to Congress pursuant to section 1105 of title 31 in that fiscal year.

(c) -- (1) Each Selected Acquisition Report for the first quarter for a fiscal year shall include- (A) the same information, in detailed and summarized form, as is provided in reports submitted under section 2431 of this title; (B) the current program acquisition unit cost for each major defense acquisition program included in the report and the history of that cost from the date the program was first included in a Selected Acquisition Report to the end of the quarter for which the current report is submitted; and (C) such other information as the Secretary of Defense considers appropriate. (2) Each Selected Acquisition Report for the first quarter of a fiscal year shall be designed to provide to the Committees on Armed Services of the Senate and House of Representatives the information such Committees need to perform their oversight functions. Whenever the Secretary of Defense proposes to make changes in the content of the Selected Acquisition Report, the Secretary shall submit a notice of the proposed changes to such committees. The changes shall be considered approved by the Secretary, and may be incorporated into the report, only after the end of the 60-day period beginning on the date on which the notice is received by those committees. (3) In addition to the material required by paragraphs (1) and (2), each Selected Acquisition Report for the first quarter of a fiscal year shall include the following: (A) A full life-cycle cost analysis for each major defense acquisition program included in the report that is in the engineering and manufacturing development stage or has completed that stage. The Secretary of Defense shall ensure that this subparagraph is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense. (B) If the system that is included in that major defense acquisition program has an antecedent system, a full life-cycle cost analysis for that system. (4) Selected Acquisition Reports for the first quarter of a fiscal year shall be known as comprehensive annual Selected Acquisition Reports. (5) The Secretary of Defense shall ensure that paragraph (4) of subsection (a) is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense.

(d) -- (1) Each Selected Acquisition Report for the second, third, and fourth quarters of a fiscal year shall include -- (A) with respect to each major defense acquisition program that was included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (e); and (B) with respect to each major defense acquisition program that was not included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (c). (2) Selected Acquisition Reports for the second, third, and fourth quarters of a fiscal year shall be known as Quarterly Selected Acquisition Reports.

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### AC 3.1.29 Continued:

(e) Information to be included under this subsection in a Quarterly Selected Acquisition Report with respect to a major defense acquisition program is as follows: (1) The quantity of items to be purchased under the program. (2) The program acquisition cost. (3) The program acquisition unit cost. (4) The current procurement cost for the program. (5) The current procurement unit cost for the program. (6) The reasons for any change in program acquisition cost, program acquisition unit cost, procurement cost, or procurement unit cost or in program schedule from the previous Selected Acquisition Report. (7) The major contracts under the program and the reasons for any cost or schedule variances under those contracts since the last Selected Acquisition Report. (8) The completion status of the program (A) expressed as the percentage that the number of years for which funds have been appropriated for the program is of the number of years for which it is planned that funds will be appropriated for the program, and (B) expressed as the percentage that the amount of funds that have been appropriated for the program is of the total amount of funds which it is planned will be appropriated for the program.

(9) Program highlights since the last Selected Acquisition Report.

(f) Each comprehensive annual Selected Acquisition Report shall be submitted within 60 days after the date on which the President transmits the Budget to Congress for the following fiscal year, and each Quarterly Selected Acquisition Report shall be submitted within 45 days after the end of the fiscal-year quarter.

(g) The requirements of this section with respect to a major defense acquisition program shall cease to apply after 90 percent of the items to be delivered to the United States under the program (shown as the total quantity of items to be purchased under the program in the most recent Selected Acquisition Report) have been delivered or 90 percent of planned expenditures under the program have been made.

For MDAPs, a Milestone B decision shall be the occasion for submission of a revised Selected Acquisition Report (DoD 5000.2-R, reference (h)). IT intended for use by non-military users shall be accessible to people with disabilities (reference (v)).

The LRIP quantity (with rationale for quantities exceeding 10 percent of the total production quantity documented in the acquisition strategy) shall be included in the first Selected Acquisition Report (reference (c)) after its determination. Any increase in quantity after the initial determination shall be approved by the MDA. The LRIP quantity shall not be less than one unit. When approved LRIP quantities are expected to be exceeded because the program has not yet demonstrated readiness to proceed to full-rate production, the MDA shall assess the cost and benefits of a break in production versus continuing annual buys.

A full-rate production and deployment decision shall be the occasion for an update of the Selected Acquisition Report

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2432 (reference (II))

**Special Note:** N/A

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**AC 3.1.30 (Phase B) Live Fire Test & Evaluation Waiver & Alternate LFT&E Plan**

Live Fire Test & Evaluation Waiver Certification Covered Systems Only Live Fire Test and Evaluation (LFT&E) A test process that is defined in Title 10 U.S.C. §2366, that must be conducted on a covered system, major munition program, missile program, or product improvement to a covered system, major munition program, or missile program before it can proceed beyond low rate initial production (LRIP). A covered system is any vehicle, weapon platform, or conventional weapon system that includes features designed to provide some degree of protection to the user in combat and that is an acquisition category (ACAT) I or ACAT II program.

**Requirement Source:** 10USC-2366(ref(y)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (Covered Systems Only)

**AC 3.1.31 (Phase B) Application for Frequency Allocation (applicable systems)**

Application for Frequency Allocation (applicable systems) if not done in Phase B It is the responsibility of the program office to submit the DD Form 1494, Application for Equipment Frequency Allocation, in sufficient time to receive approval prior to making contractual obligations. Normally the contractor assists the program office in completing the DD Form 1494. Inclusion of Defense Federal Acquisition Regulation (DFAR) clause 252.235-7003 and AFMC Federal Acquisition Regulation (FAR) clause 5352.235-9003 in the contract vehicles is highly recommended for insertion in all contracts involving the design, development, and fielding of RF radiating and receiving devices. Similar verbiage is suggested for inclusion purchase orders and other acquisition methods of Government Furnished Equipment (GFE), Non-Developmental Item (NDI), and Commercial Off-The-Shelf (COTS) devices that use the RF spectrum as a means of information or signal transfer, communications, identification, navigation, weaponry, or countermeasures.

**Requirement Source:** 47USC-305(ref(rr)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Pub L 102-530 Section 109(ref (ss)); Pub L 901-904 (ref (tt))

**Special Note:** Covered Systems Only)

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**AC 3.1.32 (Phase B) Analysis of Alternatives (AOA)**

Analyzing alternatives is part of the Cost as an Independent Variable process. Alternatives analysis shall broadly examine multiple elements of project or program alternatives including technical risk and maturity, price, and costs. The analysis shall explicitly consider continued operations and support costs of the baseline. For each alternative, it shall consider requirements for a new or modified Information Technology (IT), including a National Security System (NSS), or support infrastructure. The analysis shall include sensitivity analyses to possible changes in key assumptions (e.g., threat) or variables (e.g., selected performance capabilities). Where appropriate, the analysis shall address the interoperability and commonality of components or systems that are similar in function to other DoD Component programs or Allied programs (see 10 USC 245771). The analysis shall aid decision makers in judging whether any of the proposed alternatives to an existing system offers sufficient military and/or economic benefit to justify the cost. For most systems, the analysis shall consider and baseline against the system(s) that the acquisition program will replace, if they exist. The analysis shall consider the benefits and detriments, if any, of accelerated and delayed introduction of military capabilities, including the effect on life-cycle costs. Program Analysis and Evaluation (PA&E), shall assess the AoA, in terms of its comprehensiveness, objectivity, and compliance with the Clinger-Cohen Act. PA&E shall provide the assessment to the Component head or Principal Staff Assistant (PSA), and to the Milestone Decision Authority (MDA). The PM and MDA shall consider the analysis, the PA&E assessment, and ensuing documentation at Milestone B (or C, if there is no Milestone B) for Acquisition Category (ACAT) I and IA programs.

71 Title 10, United States Code, Section 2457, "Standardization of equipment with North Atlantic Treaty Organization members" The analysis shall be quantitative, and induce decision makers and staffs at all levels to engage in qualitative discussions of key assumptions and variables, develop better program understanding, and foster joint ownership of the program and program decisions. There shall be a clear linkage between the AoA, system requirements, and test and evaluation measures of effectiveness (CCA72 and PRA73). The analysis shall reveal insights into the program knowns and unknowns and highlight relative advantages and disadvantages of the alternatives being considered. The activity conducting the analysis shall document its findings.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

**AC 3.1.33 (Phase B) Core Logistics Analysis of Repair AAS**

Core Logistics Analysis of Repair AAS trend analysis, repair constraint analysis, queue time analysis, and "trouble shooter" for the maintainer.

**Requirement Source:** 10USC-2464(ref(rr)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2460 (ref(w)); 10USC 2466 (ref (ww))

**Special Note:** N/A

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### **AC 3.1.34 (Phase B) Identification of Acquisition Streamlining / Tailoring Activities Risks and Risk Mitigations Actions**

Identification of Acquisition Streamlining / Tailoring Activities Risks and Risk Mitigations Actions. Risk Analysis A detailed examination of each identified program risk which refines the description of the risk, isolates the cause, and determines the impact of the program risk in terms of its probability of occurrence, its consequences, and its relationship to other risk areas or processes.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### **AC 3.1.35 (Phase B) C4I Support Plan**

C4I Support Plan Updated Includes Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Support considerations in the weapon system development process for all levels. The trend in modern warfare is toward the increased use of smart weapons and the integration of Command, Control, Computers, and Communications (C4) systems with Intelligence, Surveillance, and Reconnaissance (ISR) systems to maximize combat effectiveness.

The complexity and cost of these integrated combat support systems are such that judgments regarding their design and procurement should be supported by the end-to-end analysis of the data/intelligence and infrastructure required to employ these new systems. Moreover, the results of this analysis should support the acquisition process; a specific goal is to incorporate C4I infrastructure early on into the acquisition design space, particularly with regard to overall system efficiency and supportability (i.e., consider the C4I infrastructure during design tradeoffs, in a manner similar to the consideration given the logistics infrastructure).

Accordingly, the C4I Support Plan (C4ISP) evolved as a tool to identify, plan, and manage implementation issues related to C4I infrastructure to support intelligence and interoperability certification for each program's Milestone Decision. Overall, the planning process should provide a thoughtful approach toward defining requirements, identifying shortfalls, and proposing solutions and their costs.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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**AC 3.1.36 (Phase B) LRIP Quantities**

DoD 5000.2-R (Interim) (LRIP quantities required for independent operational test must be identified for approval by the DOT&E prior to entry into System Development and Demonstration Phase for ACAT I programs and other programs designated for DOT&E oversight).

DoDI5000.2 LRIP quantities shall be minimized. The MDA shall determine the LRIP quantity for MDAPs and major systems at Milestone B. The LRIP quantity (with rationale for quantities exceeding 10 percent of the total production quantity documented in the acquisition strategy) shall be included in the first Selected Acquisition Report (reference (c)) after its determination. Any increase in quantity after the initial determination shall be approved by the MDA. The LRIP quantity shall not be less than one unit. When approved LRIP quantities are expected to be exceeded because the program has not yet demonstrated readiness to proceed to full-rate production, the MDA shall assess the cost and benefits of a break in production versus continuing annual buys.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC2400(ref(dd)); DoD 5000.2-R (Interim)

**Special Note:** (n/a for AIS) (MDAPs Only)

**AC 3.1.37 (Phase B) Basis of Issue Plan (BOIP)**

Basis of Issue Plan (BOIP) Document that establishes the distribution of new equipment and associated support items of equipment and personnel, as well as the reciprocal displacement of equipment and personnel. (Army.)

AR700-127 Materiel developers (MATDEVs) have overall responsibility for planning and implementing ILS as an integral part of assigned materiel acquisition programs. The MATDEVs are assigned in accordance with AR 70-1. Materiel developers will...As part of the requirements development process, and in coordination with the combat developer, develop a detailed maintenance concept (for all levels of maintenance) for use in developing the supportability strategy and other program management documentation (PMD), the qualitative and quantitative personnel requirement information (QQPRI), the basis of issue plan feeder data (BOIPFD), and the ILS portions of the solicitation package.

**Requirement Source:** AR 71-2 Basis of Issue Plans (BOIP), Qualitative and Quantitative Personnel Requirements Information (QQPRI)

**Special Note:** N/A

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**AC 3.1.38 (Phase B) Registration of Mission-critical and Mission-essential Information Systems**

All mission critical and mission essential information systems shall be registered with the DoD CIO in accordance with procedures in Appendix G, before Milestone B approval or program initiation, whichever is earlier. The information required to be submitted as part of this registration shall be updated not less than quarterly.

The IT Registry is an enterprise-wide, web-enabled, secure server operation via NIPRNET and SIPRNET. The use of the IT Registry is required for all mission critical information systems and mission essential information systems. The database must be loaded in an automated process from the reporting agency's local CIO database and/or updated interactively on-line through the secure web interface provided. After the initial submission, the data shall be updated not less than quarterly.

The following procedures are required to obtain an account for the IT Registry:

1. Register on the NIPRNET at <https://www.itdb.c3i.osd.mil> or on the SIPRNET at <http://207.85.97.11>. If all the data is unclassified, the NIPRNET site is recommended for registration.
2. The IT Registry homepage provides a link for new users to register.
3. Complete the application form for new users.
4. Upon verification of identity, the new user will be granted access to the database.

DoD Service and Agency Components will be able to update and query the data they provided through a secure web interface. Each Service and Agency Component's current IT Registry POC will have authorization to provide user IDs and access to the secure web interface for any user in its management chain.

The DoD Deputy Chief Information Officer has the responsibility for the development, upgrade, and maintenance of the IT Registry. Direct questions and requests for user manuals to that organization. The IT Registry web site has user manuals for download.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Pub L. 106-259, Section 8102 (ref (u)); Pub L. 106-398, Section 811 (ref (u));

**Special Note:** N/A



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### AC 3.1.39 (Phase B) Independent Technology Assessment

The document that identifies and describes sensitive program information; the risks involved in foreign access to the information; the participation in the program or foreign sales of the resulting system; and, the development of access controls and measures necessary to protect the U.S. technological or operational advantage of the system, as prescribed in DoD Directive 5230.11 (reference (m)) and DoD Directive 5530.3 (reference (p)).

Itemizes all sensitive U.S. classified and unclassified articles, commodities or technical data (see DoD Directive 5230.25 (reference (h)) which would be transferred via the proposed international agreement (which for classified articles, commodities, or technical data should be satisfied by submission of DD-254 or classification guide). Assesses the risk to U.S. national security through such transfers.

Identifies the foreign technologies or other benefits that the United States is likely to acquire as a result of the proposed agreement.

**Requirement Source:** DoDD 5530.3 International Agreements 11 June 1987; DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoD 5200.1-M Acquisition Systems Protection Program 16 March 1994

**Special Note:** N/A

### AC 3.1.40 (Phase B) Economic Analysis

Required as part of compliance with Clinger-Cohen Act

PL 106-79 ... (2) The Chief Information Officer shall provide the congressional defense committees timely notification of certifications under paragraph (1). Each such notification shall include, at a minimum, the funding baseline and milestone schedule for each system covered by such a certification and confirmation that the following steps have been taken with respect to the system:

(A) Business process reengineering.

(B) An analysis of alternatives.

(C) An economic analysis that includes a calculation of the return on investment.

(D) Performance measures.

(E) An information assurance strategy consistent with the Department's Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Architecture Framework.

DoD 5000.2-R (Interim) For ACAT IA program initiation, the PM shall prepare a life-cycle cost and benefits estimate, often termed an economic analysis (EA). The EA shall consist of an LCCE and a life-cycle benefits estimate, including a return on investment (ROI) calculation (CCA). The MDA usually directs an update to the EA whenever program cost, schedule, or performance parameters significantly deviate from the approved Acquisition Program Baseline.

**Requirement Source:** P.L. 106-79 Department of Defense Appropriations Act, 2000; DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001, DoD 5000.2-R (Interim)

**Special Note:** (MAISs Only)

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### AC 3.1.41 (Phase B) Operational Test Activity Report of Operational Test and Evaluation Results

The DOT&E, shall analyze the results of IOT&E conducted for each Major Defense Acquisition Program (MDAP). At the conclusion of IOT&E, the Director shall prepare a report stating the opinion of the Director as to:

- (A) Whether the test and evaluation performed were adequate; and
- (B) Whether the results of such test and evaluation confirm that the items or components actually tested are effective and suitable for combat.

The Director shall submit Beyond-LRIP reports to the Secretary of Defense, the USD(AT&L), and the congressional defense committees. Each such report shall be submitted to those committees in precisely the same form and with precisely the same content as the report originally was submitted to the Secretary and USD(AT&L) and shall be accompanied by such comments as the Secretary may wish to make on the report. A final decision within the DoD to proceed with a MDAP beyond LRIP may not be made until the Director has submitted to the Secretary of Defense the Beyond-LRIP Report with respect to that program and the congressional defense committees have received that report (10 USC 2399).

If the report indicates that either OT&E was inadequate or that the system as tested was ineffective or unsuitable, the DOT&E shall continue to report his or her assessment of test adequacy and system operational effectiveness and suitability, based on FOT&E, in the DOT&E Annual Report.

**Requirement Source:** DoD 5000.2-R (Interim); DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 3.1.42 (Phase B) Compliance with Strategic Plan

DoD 5000.2-R (Interim) Every acquisition program shall establish program goals-thresholds and objectives-for the minimum number of cost, schedule, and performance parameters that describe the program over its life cycle. The Department shall link program goals to the DoD Strategic Plan and other appropriate subordinate strategic plans, such as Component and Functional Strategic Plans and the Strategic Information Resources Management Plan (PRA1) Components shall plan programs consistent with the DoD Strategic Plan, and based on realistic projections of likely funding available in the Future Years Defense Program (FYDP) and in years beyond the FYDP.

DoDI5000.2 Prior to approving entry into System Development and Demonstration at Milestone B, the MDA shall consider the ... analysis of alternatives including compliance with the Department of Defense's strategic plan (based on the Government Performance and Results Act (GPRA), reference (x)),...proposed acquisition strategy, cooperative opportunities, and infrastructure and operational support.

**Requirement Source:** 5 USC 306 (Ref (z)); DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoD 5000.2-R (Interim)

**Special Note:** (As part of the Analysis of Alternatives, whenever possible)

## Section 3: System Development and Demonstration

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### AC 3.2 (Phase B - System Integration) "System Integration" Entry Point

While a materiel alternative may enter acquisition at multiple points, the appropriate point is guided by the ability to satisfy stated entrance criteria, the content of each work effort within a phase, and the considerations at each milestone. Entrance criteria are minimum accomplishments required to be completed by each program prior to entry into the next phase or work effort.

Milestone B approval can lead to System Integration or System Demonstration. Regardless of the approach recommended, PMs and other acquisition managers shall continually assess program risks. Risks must be well understood, and risk management approaches developed, before decision authorities can authorize a program to proceed into the next phase of the acquisition process. Risk management is an organized method of identifying and measuring risk and developing, selecting, and managing options for handling these risks. The types of risk include, but are not limited to, schedule, cost, technical feasibility, threat, risk of technical obsolescence, security, software management, dependencies between a new program and other programs, and risk of creating a monopoly for future procurements.

The nature of software-intensive system development, characterized by a spiral build-test-fix-test-deploy process, may lend itself to a combined system integration and system demonstration, rather than serial efforts more typical of hardware-intensive systems.

#### System Integration

The program shall enter System Integration when the PM has an architecture for the system, but has not yet integrated the subsystems into a complete system. The program shall exit System Integration when the integration of the system has been demonstrated in a relevant environment using prototypes (e.g., first flight, interoperable data flow across systems), a system configuration has been documented, the MDA determines a factor other than technology justifies forward progress, or the MDA decides to end this effort.

This effort is intended to integrate the subsystems and reduce system-level risk. The work effort will be guided by a validated ORD. The work effort will be followed by System Demonstration after a successful Interim Progress Review by the MDA (or the person designated by the MDA).

Para 4.7.3.2.3.4.1 through 4.7.3.2.4.1

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 3: System Development and Demonstration

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### AC 3.2.1 (Phase B - System Integration) Interim Progress Review (Decision Point Exit Criteria)

The purpose of an interim progress review is to confirm that the program is progressing within the phase as planned or to adjust the plan to better accommodate progress made to date, changed circumstances, or both. If the adjustment involves changing the acquisition strategy, the change must be approved by the MDA. There is no required information necessary for this review other than the information specifically requested by the decision-maker.

DoD5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Exit Criteria sets program specific accomplishments that must be satisfactorily demonstrated before a program can progress further in the current acquisition phase or transition to the next acquisition phase. The exit criteria shall serve as gates that, when successfully passed or exited, demonstrate that the program is on track to achieve its final program goals and should be allowed to continue with additional activities within an acquisition phase or be considered for continuation into the next acquisition phase. Exit criteria are some level of demonstrated performance outcome (e.g., level of engine thrust), the accomplishment of some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion (e.g., establishment of a training program or inclusion of a particular clause in the follow-on contract) that indicates that aspect of the program is progressing satisfactorily.

The program shall enter System Demonstration when the PM has demonstrated the system in prototype articles. This effort is intended to demonstrate the ability of the system to operate in a useful way consistent with the validated ORD.

ACAT1 Programs Delegated: Exit criteria established by the USD(AT&L) prior to the delegation of decision authority shall be maintained in effect unless the USD(AT&L) concurs with any changes.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### Section 3: System Development and Demonstration

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**AC 3.3 (Phase B- System Demonstration) "System Demonstration "Entry Point**

"System Demonstration "Entry Point The program shall enter System Demonstration when the PM has demonstrated the system in prototype articles. This effort is intended to demonstrate the ability of the system to operate in a useful way consistent with the validated ORD. Development of the item is completed

This phase ends when a system is demonstrated in its intended environment, using engineering development models or integrated commercial items; meets validated requirements; industrial capabilities are reasonably available; and the system meets or exceeds exit criteria and Milestone C entrance requirements. Preference shall be given to the use of modeling and simulation as the primary method for assessing product maturity where proven capabilities exist, with the use of test to validate modeling and simulation results. The completion of this phase is dependent on a decision by the MDA to commit to the program at Milestone C or a decision to end this effort.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

**AC 3.3.1 (Phase B- System Demonstration) Demonstrate Engineering Development**

Demonstrate Engineering Development Models Engineering Development Model (EDM) A production representative system that may be used during the Engineering and Manufacturing Development (EMD) phase to resolve design deficiencies, demonstrate maturing performance, and develop proposed production specifications and drawings. May also be used for initial operational test and evaluation (IOT&E).

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 3: System Development and Demonstration

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### AC 3.3.2 (Phase B - System Demonstration) ID Areas of Risk DT&E/OT&E Risk Analysis

ID Areas of Risk OT&E Risk Analysis A detailed examination of each identified program risk which refines the description of the risk, isolates the cause, and determines the impact of the program risk in terms of its probability of occurrence, its consequences, and its relationship to other risk areas or processes.

Supplement to OMB Circular A-11, Part 3, There should be a risk analysis that identifies how risk for the different parts of the project will be isolated, minimized, monitored, and controlled. High risk should be accepted only insofar as it can be justified by high expected returns, and only if project failure can be absorbed by the agency without loss of service capability or significant effect on budget.

Perform Risk and Sensitivity Analysis. Benefit and cost estimates are typically uncertain. Risk analysis can be used to identify where the relevant uncertainties exist or where development work will be needed to resolve the uncertainties. For example, installation costs are not always identified exactly and can exceed expectations. Unexpected technological changes may make new equipment obsolete sooner than foreseen. Sensitivity analysis can identify the response of program costs and benefits to changes in one or more uncertain elements of the analysis. Sensitivity analysis should be used to test the response of the investment's net present value to changes in key assumptions.

(AIS) DoD5000.2-(Interim), The PM shall develop and implement anti-tamper measures for all programs in accordance with the determination of the MDA documented in the Program Protection Plan. Anti-tamper capability, if determined to be required for a system, must be reflected in the systems specifications, integrated logistics support plan, and other program documents and design activities. Because of its function, anti-tamper should not be regarded as an option or a system capability that may later be traded off without a thorough operational and acquisition risk analysis. To accomplish this, the PM shall identify critical technologies, identify system vulnerabilities, and, with assistance from counter-intelligence organizations, perform threat analyses to the critical technologies. The PM shall research anti-tamper measures and determine which best fit the performance, cost, schedule, and risk of the program.

DoD 5000.4-M, In the early 1980s, Defense Deputy Secretary Frank Carlucci imposed additional demands on the Defense Department's cost analysis capabilities. These changes, collectively referred to as the "Carlucci Initiatives," included the following: requiring the Services to prepare budgets focused on most likely or expected costs, to budget more realistically for inflation, and to forecast business base at contractors' plants; allowing use of multi-year procurement based on cost-benefit and risk analysis; requiring economic production rates; providing greater incentives for reaching design-to-cost goals by tying award fees to actual costs in production; and increasing efforts to forecast cost risk and uncertainty.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Supplement to OMB Circular A-11, Part 3; DoD5000.2-(Interim) 4 Jan 2001;

**Special Note:** N/A

## Section 3: System Development and Demonstration

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### AC 3.3.3 (Phase B- System Demonstration) Decision Point Exit Criteria:

This phase ends when a system is demonstrated in its intended environment, using engineering development models or integrated commercial items; meets validated requirements; industrial capabilities are reasonably available; and the system meets or exceeds exit criteria and Milestone C entrance requirements. Preference shall be given to the use of modeling and simulation as the primary method for assessing product maturity where proven capabilities exist, with the use of test to validate modeling and simulation results. The completion of this phase is dependent on a decision by the MDA to commit to the program at Milestone C or a decision to end this effort.

DoD5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM. Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Exit Criteria sets program specific accomplishments that must be satisfactorily demonstrated before a program can progress further in the current acquisition phase or transition to the next acquisition phase. The exit criteria shall serve as gates that, when successfully passed or exited, demonstrate that the program is on track to achieve its final program goals and should be allowed to continue with additional activities within an acquisition phase or be considered for continuation into the next acquisition phase. Exit criteria are some level of demonstrated performance outcome (e.g., level of engine thrust), the accomplishment of some process at some level of efficiency (e.g., manufacturing yield), or successful accomplishment of some event (e.g., first flight), or some other criterion (e.g., establishment of a training program or inclusion of a particular clause in the follow-on contract) that indicates that aspect of the program is progressing satisfactorily.

This phase ends when a system is demonstrated in its intended environment, using engineering development models or integrated commercial items; meets validated requirements; industrial capabilities are reasonably available; and the system meets or exceeds exit criteria and Milestone C entrance requirements. Preference shall be given to the use of modeling and simulation as the primary method for assessing product maturity where proven capabilities exist, with the use of test to validate modeling and simulation results. The completion of this phase is dependent on a decision by the MDA to commit to the program at Milestone C or a decision to end this effort.

ACAT1 Programs Delegated: Exit criteria established by the USD(AT&L) prior to the delegation of decision authority shall be maintained in effect unless the USD(AT&L) concurs with any changes.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 4: Production and Development

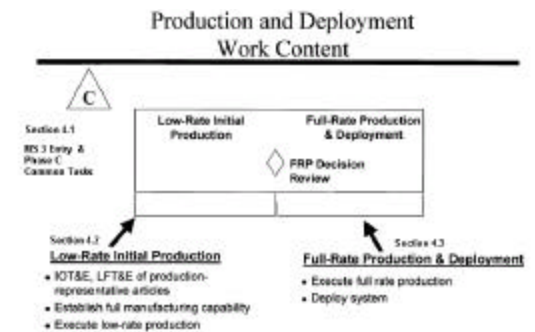
### AC 4 (Phase C) Production and Deployment

**Phase C Production and Deployment** The purpose of the Production and Deployment phase is to achieve an operational capability that satisfies mission needs. The production requirement of this phase does not apply to MAISSs. However, software has to prove its maturity level prior to deploying to the operational environment. Once maturity has been proven, the system or block is baselined, and a methodical and synchronized deployment plan is implemented to all applicable locations.

A system must be demonstrated before the Department of Defense will commit to production (or procurement) and deployment. For DOT&E Oversight programs, a system can not be produced at full-rate until a Beyond Low-Rate Initial Production Report has been completed and sent to Congress the Secretary of Defense, and the USD(AT&L). The MDA shall make the commitment decision at Milestone C. Milestone C can be reached directly from pre-systems acquisition (e.g., a commercial product) or from System Development and Demonstration phase.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



#### AC 4.1 (Phase C) Entrance Criteria.

DoDI 5000.2, para 4.7.1.8. While a materiel alternative may enter acquisition at multiple points, the appropriate point is guided by the ability to satisfy stated entrance criteria, the content of each work effort within a phase, and the considerations at each milestone. Entrance criteria are minimum accomplishments required to be completed by each program prior to entry into the next phase or work effort.

DoD 5000.2, para 2.8. The support strategy is an integral part of the systems engineering process (See 5.2.). Demonstration of assured supportability and life-cycle affordability shall be entrance criteria for the Production and Deployment Phase. The specific requirements associated with integrating the support strategy into the system engineering process shall be accomplished through IPPD (See 5.1.).

Regardless of the entry point, approval at Milestone C is dependent on the following criteria being met (or a decision by the MDA to proceed): Technology maturity (with an independent technology readiness assessment), system and relevant mission area (operational) architectures, mature software capability, demonstrated system integration or demonstrated commercial products in a relevant environment, and no significant manufacturing risks.

**Requirement Source:** DoDD 5000.1, Operation of the Defense Acquisition System, (Including Change 1), 4 Jan 2001; DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



## Section 4: Production and Development

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### AC 4.1.1 (Phase C) Acquisition Decision Memorandum (ADM)

The Acquisition Decision Memorandum (ADM) documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R, Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity.

The Defense Acquisition Executive (DAE) will normally sign an Acquisition Decision Memorandum (ADM) following either (1) the Defense Acquisition Board (DAB) Readiness Meeting (DRM), if no issues warrant a DAB review, or (2) the DAB review. There are two basic purposes for an Acquisition Decision Memorandum (ADM): (1) to record the decision made by the DAE; and (2) to provide direction to the Component, Program Manager (PM), or other action addressees.

The DAE objective is to sign the ADM within 48 hours following the DRM or DAB decision; therefore, certain expedited procedures will apply. Immediately following the decision, the DAB Executive Secretary, working in conjunction with the OIPT Leader, will prepare a draft ADM. The DAB Executive Secretary will expedite draft ADM delivery to the DAB Principals, attending senior advisors, and DRM participants, for a 24-hour turn-around for "verification of accuracy." Normally, no response will be taken as a concurrence.

The ADM package will also transmit any other documents (including attachments) that require DAE signature or approval, such as the APB, exit criteria, acquisition strategy or changes thereto, or portions of a multi-purpose document.

ADMs are based on the proposals of the Component, recommendations of the Overarching Integrated Product Team (OIPT), and the decision of the DAE at the DRM or DAB review. Items not discussed at the DRM or DAB review, or not explicitly decided by the DAE, will not be included in the ADM.

The DAB Executive Secretary will ensure that an ADM recording the decision to proceed beyond Low Rate Initial Production (LRIP) is not signed until the Beyond LRIP and Live Fire Test and Evaluation (LFT&E) reports are received by the Congressional Defense Committees, in accordance with 10 USC 2399 and 10 USC 2366 respectively. He will also ensure that an ADM recording the decision to enter into engineering and manufacturing development or production and deployment is not signed unless an independent estimate of the full life-cycle cost of the program and a manpower estimate for the program have been completed and considered by the DAE, in accordance with 10 USC 2434.

The DAB Executive Secretary will provide the DAB members and senior advisors a copy of the signed ADM. Also, the DAB Executive Secretary will coordinate with OASD(PA) the preparation of any press release concerning the ADM. DoD 5000.2, para 7.8.1 The Defense Acquisition Executive (DAE) shall conduct DAB reviews at major program milestones and at the Full-Rate Production Decision Review (if not delegated to the CAE), and at other times, as necessary. An Acquisition Decision Memorandum (ADM) shall document the decision(s) resulting from the review.

MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

**Requirement Source:** part 5.2.1 of DoD 5000.2-R; DoD 5000.2; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

## Section 4: Production and Development

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### AC 4.1.2 (Phase C) Identification of IPT/OIPT/WIPT Membership Integrated Product Team (IPT)

Generally speaking, members of previous ICT teams will transition to be members of the appropriate IPT.

Identification of IPT/OIPT/WIPT Membership Fundamental change in the DoD acquisition culture is underway and requires individuals and organizations to change from a hierarchical decision-making process to one where decisions are made across organizational structures by multi-disciplinary teams known as Integrated Product Teams (IPTs). Successful PMs must be leaders who can create a vision for their program, translate this into concrete missions, break these down into critical success factors (goals), and nurture and develop (via empowerment and teamwork) the IPT's to successfully execute acquisition programs. Under DoDD 5000.1 and DoD Regulation 5000.2-R, the preferred management technique for use by a PM is known as Integrated Process and Product Development (IPPD). The goals of IPPD are to integrate all acquisition activities starting with requirements definition through production, fielding/deployment, and operational support in order to optimize the design, manufacturing, business, and supportability processes. IPPD is an expansion of concurrent engineering, and it simultaneously integrates all essential acquisition activities through the use of IPTs.

DoD 5000.2-R (Interim), T&E planning shall begin during the Concept and Technology Development Phase. The PM shall form the T&E Working-Level Integrated Product Team (WIPT). Representatives from the DT&E (contractor and government), OT&E, LFT&E, and intelligence communities shall support the WIPT. If a project or program enters the acquisition process later than concept and technology development, the PM shall form the WIPT prior to entering the acquisition process. A T&E WIPT can be useful for a pre-system acquisition activity (e.g., an advanced concept technology demonstration, an advanced technology demonstration, or joint warfighting experimentation) that have a likelihood of becoming an acquisition program. A continuous T&E WIPT can help ensure a smooth transition, and can be used to prepare the initial TEMP. The early integration of T&E with program management ensures a test strategy consistent with and supportive of the acquisition strategy.

**Requirement Source:** DoD 5000.2-R (Interim) 4 Jan 2001; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 4.1.3 (Phase C) Consideration of Technology Issues Updated

Consideration of Technology Issues In order to achieve the best possible system solution, emphasis will be placed on innovation and competition. To this end, participation by a diversified range of businesses (i.e., small, new, domestic, and international) should be encouraged. Alternative system design concepts will be primarily solicited from private industry and, where appropriate, from organic activities, international technology and equipment firms, Federal laboratories, federally funded research and development centers, educational institutions, and other not-for-profit organizations. Technical Evaluation The study, investigations, or test and evaluation (T&E) by a developing agency to determine the technical suitability of materiel, equipment, or a system, for use in the military services.

**Requirement Source:** 10USC-2364 (ref(w))

**Special Note:** N/A

## Section 4: Production and Development

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### AC 4.1.4 (Phase C) Operational Requirements Document (ORD)

AR25-1, Process analysis and improvements for warfighting requirements will be documented in the mission needs statement (MNS) and operational requirements document (ORD). The doctrine, training, leader development, organizational design, materiel, and soldiers (DTLOMS) requirements methodology will be used. See AR 71-9 and TRADOC Pamphlet 71-9 for information on the requirements generation process. Process analysis and revision will be accomplished before submitting a MNS or ORD.

DoDI 4630.8, A statement containing performance (operational effectiveness and suitability) and related operational parameters for a proposed concept or system.

CJCS Instr 3170.01A, Operational Requirements Document (ORD) Updated Operational Requirements Document (ORD) Documents the user's objective (desired) and threshold (minimum acceptable) level of requirements for operational performance of a proposed concept or system. Format is contained in Appendix II, DoD 5000.2-R. DoD 5000.2-R (Interim), In establishing realistic objectives, the user shall treat cost as a military requirement.

The acquisition community, including technology and logistics, and the requirements community shall use the CAIV process to develop total ownership cost (TOC), schedule, and performance thresholds and objectives. They shall address cost in the Operational Requirements Document (ORD), and balance mission needs with projected out-year resources, taking into account anticipated process improvements in both DoD and defense industries (GPRA2 and CCA3). CAIV trades shall consider the cost of delay and the potential for early operational capability.

DoD 5000.4-M, The cost estimates should include all sunk costs and a projection for all categories of the life-cycle costs for the total planned program required to respond to the need as defined in the Mission Needs Statement (MNS), and delineated in the Operational Requirements Document (ORD), System Threat Assessment Report (STAR), Acquisition Program Baseline (APB), and Test and Evaluation Master Plan (TEMP), (DoD 5000.2-M (reference (b))), to include the following:

DoDI 5000.56 Mapping, Charting, and Geodesy (MC&G) requirements are to be defined in the Operational Requirements Document (ORD) for Milestone I and subsequent Milestones, as provided in reference (e). Consequently, as a "infrastructure support" component, MC&G requirements are subject to consideration at all system milestone reviews. Using the MC&G requirements defined in the ORD, the DMA and the applicable DoD Component(s) shall follow the procedures in section 5., below, to identify any unique product requirements and to program funding support.

DoDD 4630.8 A copy of each MNS and ORD involving development, acquisition, or modification of C3I systems, is, on DoD Component approval, provided to the Defense Information Systems Agency (DISA) for interoperability assessment and inclusion in the joint C3I interoperability requirements data base.

**Requirement Source:** AR25-1; CJCS Instr 3170.01A, (ref (I)); DoDI 4630.8 18 November 1992; DoD 5000.2-R (Interim) 4 Jan 2001; DoD 5000.4-M Dec 92; DoDI 5000.56 11 September 1991; DoDD 4630.8 C3I Systems

**Special Note:** N/A

## Section 4: Production and Development

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### AC 4.1.5 (Phase C) Integrated Logistics Support (ILS)

Integrated Logistics Support (ILS) program objectives will be established with an overall objective of reducing total ownership cost (TOC) within the mission area. The specific goal/objective of the ILS program is to introduce and sustain fully supportable materiel systems in current and projected environments that meet established operational and system readiness objectives (SRO) at minimum LCC. Integrated logistics support is an inherent part of the system engineering process. It includes efforts to design, introduce, and sustain materiel systems that conform to the capabilities and limitations of military and civilian personnel who operate and maintain those systems. This also includes improving logistics standardization and interoperability (S&I) of materiel within DA, other Services, and Allied Nations.

Elements Include: Maintenance Planning; Design Interface; Manpower & Personnel Elements; Supply Support; Support Equipment; Training and Support; Technical Data; Computer Resources; Facilities; and Packing, Handling, Storage & Transportation.

**Requirement Source:** AR700-127

**Special Note:** N/A

### AC 4.1.6 (Phase C) Funds Management/Programming (BA Type - Procurement; BA Type O&M; BA Type 6.5)

**BA- Procurement** for LRIP and Production Items **BA-O&M** for Sustainment and Maintenance Support Functions **BA-6.5** Management and Support includes support of organizations, people, and facilities required for general research and development activities not funded under the Working Capital Funds concept. Test ranges, maintenance and support of laboratories, operations and maintenance of test aircraft and ships, and study and analyses in support of Research and Development programs funded by operations and maintenance are included.

**Requirement Source:** Program Budget and Accounting System (PBAS)

**Special Note:** N/A

### AC 4.1.7 (Phase C) Operational Test Plan

Operational T&E (OT&E): The field test, under realistic combat conditions, of any item (or key component of), weapons, equipment, or munitions for the purpose of determining the effectiveness and suitability for use in combat by typical military users, and the evaluation of the results of such test. Required for ACAT I and II programs.

**Requirement Source:** 10USC2399 (reference (pp))

**Special Note:** DOT&E Oversight Programs Only (Prior to start of Operational Test and Eval)

### AC 4.1.8 (Phase C) Full Funding of DAB Programs

Full Funding of Concept & Technology Effort in accordance with the Clinger-Cohen Act (CCA) (reference (k)). The DoD CIO shall issue guidance describing minimum criteria for CCA compliance, but at a minimum, the Head of the Component or designee shall certify that the program is fully funded.

Para 4.7.2.4.3.3, DoDI 5000.2

**Requirement Source:** Clinger-Cohen Act (CCA) (reference (k)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 4: Production and Development

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### AC 4.1.9 (Phase C) MANPRINT

MANPRINT influences the initial functional allocation of tasks between people, hardware, and software. MANPRINT must also be considered in establishing logistics-related design constraints and readiness requirements. Human performance capabilities must be considered when determining system performance requirements. The entire process of integrating the full range of human-factor engineering, manpower, personnel, training, health hazard assessment, system safety, and soldier survivability throughout the materiel development and acquisition process to ensure optimum total system performance.

AR700-127 ... when the product manager (PM) is appointed, if earlier (AR 70-1), assign an ILSM (preferably the Pre-MDR I ILSM designated to work with the CBTDEV) to the system acquisition program. The ILSM will establish or assume the chair of the SIPT at that time. The ILS manager will also serve as the MANPRINT manager when the size and complexity of the program permit.

**Requirement Source:** AR700-127, AR 70-1; AR 602-2 Manpower and Personnel Integration (MANPRINT) in the Materiel Acquisition Process.

**Special Note:** N/A

### AC 4.1.10 (Phase C) Compliance with Strategic Plan

DoD 5000.2-R (Interim) Every acquisition program shall establish program goals-thresholds and objectives-for the minimum number of cost, schedule, and performance parameters that describe the program over its life cycle. The Department shall link program goals to the DoD Strategic Plan and other appropriate subordinate strategic plans, such as Component and Functional Strategic Plans and the Strategic Information Resources Management Plan (PRA1)

Components shall plan programs consistent with the DoD Strategic Plan, and based on realistic projections of likely funding available in the Future Years Defense Program (FYDP) and in years beyond the FYDP.

DoDI5000.2 Prior to approving entry into System Development and Demonstration at Milestone B, the MDA shall consider the ... analysis of alternatives including compliance with the Department of Defense's strategic plan (based on the Government Performance and Results Act (GPRA), reference (x)),...roposed acquisition strategy, cooperative opportunities, and infrastructure and operational support.

**Requirement Source:** 5 USC 306 (Ref (z)); DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoD 5000.2-R (Interim)

**Special Note:** (As part of the Analysis of Alternatives, whenever possible)

## Section 4: Production and Development

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### AC 4.1.11 (Phase C-LRIP ) Acquisition Program Baseline (APB)

DoD 5000.2-R (Interim), Every acquisition program shall establish an APB beginning at program initiation. The PM shall base the APB on users' performance requirements, schedule requirements, and estimate of total program cost. Performance shall include interoperability, supportability and, as applicable, environmental requirements. The department shall not obligate funds for ACAT I or ACAT IA programs beyond Milestone B until the MDA approves the APB, unless the Under Secretary of Defense (Acquisition, Technology and Logistics (USD(AT&L)) (for ACAT I) or the Assistant Secretary of Defense (Command, Control, Communications and Intelligence) (ASD(C3I)) (for ACAT IA) specifically approves the obligation (10 USC 2435(b)5). The APB satisfies requirements derived from both 10 USC 2220(a)(1)6 and 10 USC 2435.

The Acquisition Program Baseline at a minimum contain:

**Performance.** The total number of performance parameters shall be the minimum number needed to characterize the major drivers of operational performance, supportability, and interoperability (10 USC 2435). This minimum number shall include the KPPs identified in the ORD. The value of a threshold or objective in the APB shall not differ from the value for a like threshold or objective in the ORD, and their definitions shall be consistent. The MDA may add additional performance parameters not validated by the JROC. The number and specificity of performance parameters increase with time. Early in a program the PM shall use a minimum number of broadly defined, operational-level, measures of effectiveness or performance to describe needed capabilities. As program, system level requirements become better defined, the PM may designate a limited number of additional, specific, program parameters, as necessary.

**Schedule.** Schedule parameters shall minimally include dates for program initiation, major decision points, and the attainment of initial operating capability. The PM may propose, for MDA approval, other, specific, critical, system events, as necessary. In accordance with 10 USC 1817 the JROC shall evaluate program schedule criteria, including critical schedule dates, for ACAT I programs.

**Cost.** Cost parameters shall identify TOC (broken-out into direct costs: research, development, test, and evaluation costs, procurement costs, military construction costs, operations and support costs (to include environmental, safety, and occupational health compliance costs), and the costs of acquisition items procured with operations and maintenance funds, if applicable; indirect costs attributable to the systems; and infrastructure costs not directly attributable to the system); total quantity (including both fully configured development and production units) costs; average procurement unit cost (defined as the total procurement cost divided by total procurement quantity); program acquisition unit cost (defined as the total of all acquisition related appropriations divided by the total quantity of fully configured end items); and other cost objectives designated by the MDA. For reporting purposes, the PM shall use life-cycle costs as defined in DoD 5000.4-M8. The PM shall present cost figures in base year dollars.

Cost figures shall initially reflect realistic estimates of the total program, including a thorough assessment of risk. As the program progresses, the PM shall refine procurement costs based on contractor actual (return) costs from component advanced development, system integration, and system demonstration, as available, and from low-rate initial production. The PM shall include the refined estimate in the next required submittal of the APB. Budgeted amounts shall not exceed the total cost thresholds in the APB. For ACAT IA programs, ACAT I cost parameters shall apply with the addition of military pay and the cost of acquisition items procured with Defense Working Capital Funds. The JROC shall evaluate program cost criteria for ACAT I programs (10 USC 181).

**Requirement Source:** 10USC-2364 (ref(hh)); 10 USC 2220(a)(1)6 and 10 USC 2435. DoD 5000.2-R (Interim) 4 Jan 2001; 10 USC 2220(a)(1)6; 10 USC 2435; 10 USC 181; DoD Manual 5000.4-M

**Special Note:** ( Updated as needed)

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### AC 4.1.12 (Phase C) Analysis of Alternatives (AOA) Updated if Required

Analyzing alternatives is part of the Cost as an Independent Variable process. Alternatives analysis shall broadly examine multiple elements of project or program alternatives including technical risk and maturity, price, and costs. The analysis shall explicitly consider continued operations and support costs of the baseline. For each alternative, it shall consider requirements for a new or modified Information Technology (IT), including a National Security System (NSS), or support infrastructure. The analysis shall include sensitivity analyses to possible changes in key assumptions (e.g., threat) or variables (e.g., selected performance capabilities). Where appropriate, the analysis shall address the interoperability and commonality of components or systems that are similar in function to other DoD Component programs or Allied programs (see 10 USC 245771). The analysis shall aid decision makers in judging whether any of the proposed alternatives to an existing system offers sufficient military and/or economic benefit to justify the cost. For most systems, the analysis shall consider and baseline against the system(s) that the acquisition program will replace, if they exist. The analysis shall consider the benefits and detriments, if any, of accelerated and delayed introduction of military capabilities, including the effect on life-cycle costs. Program Analysis and Evaluation (PA&E), shall assess the AoA, in terms of its comprehensiveness, objectivity, and compliance with the Clinger-Cohen Act. PA&E shall provide the assessment to the Component head or Principal Staff Assistant (PSA), and to the Milestone Decision Authority (MDA). The PM and MDA shall consider the analysis, the PA&E assessment, and ensuing documentation at Milestone B (or C, if there is no Milestone B) for Acquisition Category (ACAT) I and IA programs.

71 Title 10, United States Code, Section 2457, "Standardization of equipment with North Atlantic Treaty Organization members"

The analysis shall be quantitative, and induce decision makers and staffs at all levels to engage in qualitative discussions of key assumptions and variables, develop better program understanding, and foster joint ownership of the program and program decisions. There shall be a clear linkage between the AoA, system requirements, and test and evaluation measures of effectiveness (CCA72 and PRA73). The analysis shall reveal insights into the program knowns and unknowns and highlight relative advantages and disadvantages of the alternatives being considered. The activity conducting the analysis shall document its findings.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If no Phase B)

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### AC 4.1.13 (Phase C) C4I Support Plan Updated

C4I Support Plan Updated Includes Command, Control, Communications, Computers, Intelligence, Surveillance, and Reconnaissance (C4ISR) Support considerations in the weapon system development process for all levels. The trend in modern warfare is toward the increased use of smart weapons and the integration of Command, Control, Computers, and Communications (C4) systems with Intelligence, Surveillance, and Reconnaissance (ISR) systems to maximize combat effectiveness.

The complexity and cost of these integrated combat support systems are such that judgments regarding their design and procurement should be supported by the end-to-end analysis of the data/intelligence and infrastructure required to employ these new systems.

Moreover, the results of this analysis should support the acquisition process; a specific goal is to incorporate C4I infrastructure early on into the acquisition design space, particularly with regard to overall system efficiency and supportability (i.e., consider the C4I infrastructure during design tradeoffs, in a manner similar to the consideration given the logistics infrastructure). Accordingly, the C4I Support Plan (C4ISP) evolved as a tool to identify, plan, and manage implementation issues related to C4I infrastructure to support intelligence and interoperability certification for each program's Milestone Decision.

Overall, the planning process should provide a thoughtful approach toward defining requirements, identifying shortfalls, and proposing solutions and their costs.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (Also summarized in the acquisition strategy)

### AC 4.1.14 (Phase C) Affordability Assessment Updated Affordability

Affordability Assessment is the ongoing assessment of a program to ensure that it is being executed within DoD planning and funding guidelines, has sufficient resources identified and approved in the Future Years Defense Program (FYDP), and is managed based on accurate cost and manpower data. Affordability decisions are made throughout the entire acquisition cycle.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



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### AC 4.1.15 (Phase C) Independent Technology Assessment

The document that identifies and describes sensitive program information; the risks involved in foreign access to the information; the participation in the program or foreign sales of the resulting system; and, the development of access controls and measures necessary to protect the U.S. technological or operational advantage of the system, as prescribed in DoD Directive 5230.11 (reference (m)) and DoD Directive 5530.3 (reference (p)). Itemizes all sensitive U.S. classified and unclassified articles, commodities or technical data (see DoD Directive 5230.25 (reference (h)) which would be transferred via the proposed international agreement (which for classified articles, commodities, or technical data should be satisfied by submission of DD-254 or classification guide). Assesses the risk to U.S. national security through such transfers. Identifies the foreign technologies or other benefits that the United States is likely to acquire as a result of the proposed agreement.

**Requirement Source:** DoDD 5530.3 International Agreements 11 June 1987; DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoD 5200.1-M Acquisition Systems Protection Program 16 March 1994

**Special Note:** N/A

### AC 4.1.16 (Phase C) Registration of Mission-critical and Mission-essential Information Systems

All mission critical and mission essential information systems shall be registered with the DoD CIO in accordance with procedures in Appendix G, before Milestone B approval or program initiation, whichever is earlier. The information required to be submitted as part of this registration shall be updated not less than quarterly.

The IT Registry is an enterprise-wide, web-enabled, secure server operation via NIPRNET and SIPRNET. The use of the IT Registry is required for all mission critical information systems and mission essential information systems. The database must be loaded in an automated process from the reporting agency's local CIO database and/or updated interactively on-line through the secure web interface provided. After the initial submission, the data shall be updated not less than quarterly.

The following procedures are required to obtain an account for the IT Registry: 1. Register on the NIPRNET at <https://www.itdb.c3i.osd.mil> or on the SIPRNET at <http://207.85.97.11>. If all the data is unclassified, the NIPRNET site is recommended for registration. 2. The IT Registry homepage provides a link for new users to register. 3. Complete the application form for new users. 4. Upon verification of identity, the new user will be granted access to the database.

DoD Service and Agency Components will be able to update and query the data they provided through a secure web interface. Each Service and Agency Component's current IT Registry POC will have authorization to provide user IDs and access to the secure web interface for any user in its management chain. The DoD Deputy Chief Information Officer has the responsibility for the development, upgrade, and maintenance of the IT Registry.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Pub L. 106-259, Section 8102 (ref (u)); Pub L. 106-398, Section 811 (ref (u));

**Special Note:** N/A

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### **AC 4.1.17 (Phase C) OIPT Leaders Report Update (Acat ID and IAM only)**

For ACAT ID and IAM programs, there are generally two levels of IPT: the OIPT and Working-Level IPTs (WIPTs). Each program shall have an OIPT and at least one WIPT. WIPTs shall focus on a particular topic such as cost/performance, test, or contracting. An Integrating IPT (IIPT) (which is a WIPT) shall coordinate WIPT efforts and cover all topics not otherwise assigned to another IPT. IPT participation is the primary way for any organization to participate in the acquisition program.

OIPT Leaders Report (Acat ID and IAM only) Overarching Integrated Product Team (OIPT). For ACAT IC, IAC, II, IIA, III, and IV programs, the MDA will establish an OIPT and designate a chairperson. The secretary/facilitator for ACAT I and II program OIPT will be the SARDA or DISC4 action officer (depending where Army Staff System Coordination resides). For ACAT III and IV programs, the MDA will identify the OIPT secretary/facilitator. OIPT membership will consist of empowered individuals appointed by: ASARC members (ACAT IC, or II programs); by Army MAISRC members (ACAT IAC and IIA programs); and the MDA (ACAT III and IV programs). Membership will be tailored to the needs and level of oversight required for the program.

**Requirement Source:** DoD 5000.2R, para 7.6

**Special Note:** (Acat ID and IAM only)

### **AC 4.1.18 (Phase C) OIPT Staff Assessment Updated (Acat ID and IAM only)**

OIPT Staff Assessment (Acat ID and IAM only) The OIPT leader for ACAT ID programs shall provide an integrated assessment to the DAB chair, principals, and advisors at major program reviews and milestone decision reviews using information gathered through the IPT process. The leader's assessment shall focus on core acquisition management issues and shall take account of independent assessments that are normally prepared by OIPT members. These assessments are typically accomplished in the context of the OIPT review and shall be reflected in the OIPT Leader's report. There should be no surprises at this point, because all team members are already working the issues in real time, and they should be knowledgeable of their OIPT leader's assessment.

**Requirement Source:** DoD 5000.2R, section 7.6

**Special Note:** Acat ID and IAM only)

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### AC 4.1.19 (Phase C) Program Office Estimate (POE) (life-cycle costs) Updated

5000.4-M Dec 92, DoD Instruction 5000.2 and DoD 5000.2-M (references (a) and (b)) require that both a program office estimate (POE) and a DoD component cost analysis (CCA) estimate be prepared in support of acquisition milestone reviews. As part of this requirement, reference (b) specifies that the DoD Component sponsoring an acquisition program establish, as a basis for cost-estimating, a description of the salient features of the program and of the system being acquired. This information is presented in a Cost Analysis Requirements Description (CARD). Chapter 2 of this Manual provides more explicit instructions regarding CARD submission schedules, but it does not provide guidance on the content of CARDS. That guidance is provided here.

Program Office Estimate (POE) (life-cycle costs) A detailed estimate of acquisition and ownership costs normally required for high level decisions. The estimate is performed early in the program and serves as the basepoint for all subsequent tracking and auditing purposes.

**Requirement Source:** 5000.4-M Dec 92; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 4.1.20 (Phase C) System Threat Assessment & Projections Updated

System Threat Assessment & Projections - Prepared by a collaboration among the intelligence, requirements generation, and acquisition management communities to support program initiation (usually Phase B). It is maintained in a current and approved or validated status throughout the acquisition process.

NCSC-TG-024-1, 2.5.3.3 System Threat Assessment Report (Star) A threat assessment is required for all major programs. Historically, the STAR has not placed adequate emphasis on COMPUSEC. Identifying the threat of malicious logic attacks (e.g., viruses, worms, and Computer misuse) is important to the security of the system. The STAR will also be used as input to the System Threats and Vulnerabilities Risk Analysis required by DoD 5200.28-M. The user, or the security expert in the PMO or SPO, should contact the intelligence function to initiate the process. See Chapter 4, "Threat Risk Management", for more details.

DoDI 5000.2, Prior to approving entry into System Development and Demonstration at Milestone B, the MDA shall consider the validated ORD, System Threat Assessment, independent technology assessment and any technology issues identified by DoD research facilities, any early operational assessments or test and evaluation results, analysis of alternatives including compliance with the Department of Defense's strategic plan (based on the Government Performance and Results Act (GPRA), reference (x)), the independent cost estimate or, for MAISs, component cost analysis and the economic analysis, manpower estimate (if applicable), whether an application for frequency allocation has been made (if the system will require utilization of the electromagnetic spectrum), system affordability and funding, the program protection for Critical Program Information, anti-tamper provisions, the Delegation of Disclosure Authority Letter (DDL) concerning foreign disclosure of program information vis-à-vis foreign participation in the program and/or sales of the system, the proposed acquisition strategy, cooperative opportunities, and infrastructure and operational support.

**Requirement Source:** NCSC-TG-024-1 Volume 1 of 4 (Version 1) December 1992; DoDD 5105.21 (ref (yy)); (Phase B) Clinger-Cohen Act Compliance (All IT including NSS)

**Special Note:** (N/A for AISs) (validated by DIA for ACAT ID programs)

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### AC 4.1.21 (Phase C) Application for Frequency Allocation

It is the responsibility of the program office to submit the DD Form 1494, Application for Equipment Frequency Allocation, in sufficient time to receive approval prior to making contractual obligations. Normally the contractor assists the program office in completing the DD Form 1494. Inclusion of Defense Federal Acquisition Regulation (DFAR) clause 252.235-7003 and AFMC Federal Acquisition Regulation (FAR) clause 5352.235-9003 in the contract vehicles is highly recommended for insertion in all contracts involving the design, development, and fielding of RF radiating and receiving devices. Similar verbiage is suggested for inclusion purchase orders and other acquisition methods of Government Furnished Equipment (GFE), Non-Developmental Item (NDI), and Commercial Off-The-Shelf (COTS) devices that use the RF spectrum as a means of information or signal transfer, communications, identification, navigation, weaponry, or countermeasures.

**Requirement Source:** 47USC-305(ref(rr)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Pub L 102-530 Section 109(ref (ss)); Pub L 901-904 (ref (tt))

**Special Note:** (If no Phase B) Applies to all systems using the electromagnetic spectrum

### AC 4.1.22 (Phase C) Core Logistics Analysis of Repair AAS if not performed in Phase B

Core Logistics Analysis of Repair AAS trend analysis, repair constraint analysis, queue time analysis, and "trouble shooter" for the maintainer.

**Requirement Source:** 10USC-2464(ref(rr)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2460 (ref(w)); 10USC 2466 (ref (ww))

**Special Note:** N/A

### AC 4.1.23 (Phase C) Basis of Issue Plan (BOIP)

Basis of Issue Plan (BOIP) Document that establishes the distribution of new equipment and associated support items of equipment and personnel, as well as the reciprocal displacement of equipment and personnel. (Army.)

AR700-127 Materiel developers (MATDEVs) have overall responsibility for planning and implementing ILS as an integral part of assigned materiel acquisition programs. The MATDEVs are assigned in accordance with AR 70-1. Materiel developers will...As part of the requirements development process, and in coordination with the combat developer, develop a detailed maintenance concept (for all levels of maintenance) for use in developing the supportability strategy and other program management documentation (PMD), the qualitative and quantitative personnel requirement information (QQPRI), the basis of issue plan feeder data (BOIPFD), and the ILS portions of the solicitation package.

**Requirement Source:** AR 71-2 Basis of Issue Plans (BOIP), Qualitative and Quantitative Personnel Requirements Information (QQPRI)

**Special Note:** N/A

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### AC 4.1.24 (Phase C) Program Protection Plan (PPP)

PMs shall identify critical elements of their program, referred to as Critical Program Information (CPI).

This applies to any acquisition program that requires protection to prevent unauthorized disclosure or inadvertent transfer of leading-edge technologies and sensitive data or systems, otherwise referred to as "compromise." CPI may be identified during the requirements generation process, may be integral to the program, may be inherited from a supporting program, or may result from acquisition techniques such as flexible technology insertion. For programs with CPI, the PM shall notify the Component servicing counterintelligence (CI) agency technology protection program manager of the identified CPI, and develop a Program Protection Plan (PPP) prior to Milestone B.

Each program shall have an integrated, comprehensive, and coherent PPP and process over the entire system life cycle. The adequacy and effectiveness of protection shall be reviewed at each milestone or decision point. The PM shall prioritize identified protection vulnerabilities based upon the mission consequences if the CPI is lost or compromised, allowing a foreign interest to exploit the CPI. Technology protection planning and development of the PPP shall begin early in the acquisition life cycle. The following considerations apply: Attempt to shape or influence the projected threat environment in a direction favorable to U.S. national security interests. Systems of extraordinary importance to the national security, such as space, strategic, and C4ISR systems, shall have particularly stringent protection requirements, planning, and oversight due to the broad, serious, and enduring consequences of degradation or loss to the National Command Authorities (NCA) and combatant commands.

The DoD Component CI organizations shall provide the PM with information concerning the vulnerabilities of a system to foreign intelligence capabilities and related threats. Security organizations shall identify system vulnerabilities and recommend cost-effective security measures using risk management evaluations. CI organizations shall offer a variety of tailored services to address threats posed by foreign intelligence services to an acquisition program. The PPP shall identify those CI services. DoD Component CI organizations will identify a CI point of contact (POC) for each program with CPI. Throughout the life of the program, based on field CI activities supporting the program, the CI POC shall provide updated threat and other CI information to the PM. As technology allows, systems engineering activities shall use encryption, packaging or bundling, and other tamper-proofing techniques to maximize CPI protection. Anti-Tamper techniques intended to prevent or delay exploitation of military critical technologies in weapons systems must be considered.

The PPP shall address information systems security, defensive information warfare, TEMPEST, personnel security, classification management, physical security, operations security, technology transfer, CI and international security requirements. Systems protection shall include: IA, Information Security, Anti-Terrorism, Counter-Terrorism, Force Protection, Continuity of Operations, Physical Security, Information Security, Operations Security, Threat Warning/Attack Assessment, Personnel Security, Foreign Disclosure, Technology Transfer, etc.

The PM shall report a finding that no CPI exists to the MDA, if so determined. DoDD 5200.39126, DoD 5200.1-M127, and the DoD Technology Protection Handbook have more on technology, protection, and development of the PPP and anti-tamper.

**Requirement Source:** DoD 5000.2-R (Interim) 4 January 2001

**Special Note:** (Also summarized in Acquisition Strategy) (Based on validated requirements in ORD)

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### AC 4.1.25 (Phase C) IOT&E, LFT&E of Production-Representative Articles

IOT&E, LFT&E of Production-Representative Articles Initial Operational Test and Evaluation (IOT&E) Operational test and evaluation conducted on production, or production representative articles, to determine whether systems are operationally effective and suitable, and which supports the decision to proceed beyond low rate initial production (LRIP). Live Fire Test and Evaluation (LFT&E) A test process that is defined in Title 10 U.S.C. §2366, that must be conducted on a covered system, major munition program, missile program, or product improvement to a covered system, major munition program, or missile program before it can proceed beyond low rate initial production (LRIP). A covered system is any vehicle, weapon platform, or conventional weapon system that includes features designed to provide some degree of protection to the user in combat and that is an acquisition category (ACAT) I or ACAT II program.

**Requirement Source:** 10USC-2400 (ref(aa))

**Special Note:** N/A

### AC 4.2 (Phase C) Low Rate Initial Production (LRIP) Decision Entry Point:

The purpose of Low Rate Initial Production, as defined by DODI 5000.2, is to provide production-configured or representative articles for operational test, to establish an initial production base for the system, and to permit an orderly increase in production rate for the system sufficient to lead to full-rate production upon the successful completion of operational test.

LRIP quantity will be determined for all Acquisition Category (ACAT) I and II programs as a part of Engineering and Manufacturing Development (EMD) approval (Milestone II).

In order to facilitate the testing of LRIP articles in the EMD phase, component and agency program offices are encouraged to program budget Research, Development, Test, and Evaluation (RDT&E) funds in lieu of procurement for those items required for operational test. Transition to RDT&E funding for LRIP test articles will take place in the next Program Objective Memorandum cycle. The services and BMDO should work with the USD(Comptroller) and the Director, Program Analysis and Evaluation to ensure that RDT&E funds programmed and budgeted for LRIP articles are specifically identified in program objective memoranda and budget submissions.

This work effort is intended to result in completion of manufacturing development in order to ensure adequate and efficient manufacturing capability and to produce the minimum quantity necessary to provide production configured or representative articles for initial operational test and evaluation (IOT&E), establish an initial production base for the system; and permit an orderly increase in the production rate for the system, sufficient to lead to full-rate production upon successful completion of operational (and live-fire, where applicable) testing. The work shall be guided by the ORD.

Deficiencies encountered in testing prior to Milestone C shall be resolved prior to proceeding beyond LRIP (at the Full-Rate Production Decision Review) and any fixes verified in IOT&E. Operational test plans shall be provided to the DOT&E for oversight programs in advance of the start of operational test and evaluation.

4.7.3.3.4.3. LRIP may be funded by either research, development, test and evaluation appropriation (RDT&E) or by procurement appropriations, depending on the intended usage of the LRIP assets. The DoD Financial Management Regulation (reference (bb)) provides specific guidance for determining whether LRIP should be budgeted in RDT&E or in procurement appropriations.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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### AC 4.2.1 (Phase C - LRIP) Independent Estimate of Life-Cycle Cost (n/a for AIS) (MDAPs Only)

Independent Estimate of Life-Cycle Cost (n/a for AIS) (MDAPs Only) Independent Cost Estimate (ICE) A life cycle cost estimate for ACAT I programs prepared by an office or other entity that is not under the supervision, direction, or control of the military department, defense agency, or other component of the DoD that is directly responsible for carrying out the development or acquisition of the program, or if the decision authority has been delegated to a Component, prepared by an office or other entity that is not directly responsible for carrying on the development or acquisition of the program.

**Requirement Source:** 10USC-2434 (ref(oo))

**Special Note:** (n/a for AIS) (MDAPs Only)

### AC4.2.2 (Phase C - LRIP) Clinger-Cohen Act (CCA) Certification to Congressional Defense Committee for MAIS

The MDA shall not approve program initiation or entry into any phase that requires milestone approval (to include full-rate production) for an acquisition program (at any level) for a mission-critical or mission-essential IT system until the Component CIO confirms that the system is being developed in accordance with the Clinger-Cohen Act (CCA) (reference (m)). At a minimum, the Component CIO's confirmation shall include a written description of the following: 1. The acquisition supports core, priority functions that need to be performed by the Federal Government. 2. No private sector or government source can better support the function. 3. The processes that the system supports have been redesigned to reduce costs, improve effectiveness and maximize the use of COTS technology. 4. An analysis of alternatives has been conducted. 5. For AIS, an economic analysis has been conducted that includes a calculation of the return on investment; or for non-AIS programs, an LCCE has been conducted. 6. There are clearly established measures and accountability for program progress. 7. Mission-related, outcome-based performance measures have been established and linked to strategic goals. 8. The program has an information assurance strategy that is consistent with DoD policies, standards, and Architectures. 9. The acquisition is consistent with the Global Information Grid policies and architecture, to include relevant standards. 10. To the maximum extent practicable, (1) modular contracting is being used, and (2) the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks. 11. The system being acquired is registered with the DoD CIO (see 5000.2-R, Appendix G).

For MDAP programs, the Component CIO's confirmation shall be provided to both the DoD CIO and the MDA.

For MAIS programs, the certification shall be submitted to the DoD CIO and will include a CCA Compliance Report that addresses the above items. The DoD CIO will review the CCA Compliance Report and certify to the Congressional defense committees that the MAIS is being developed in accordance with the CCA before approving program initiation or entry into any phase (including full-rate production) that requires a milestone approval, as required by Sec. 8102 of the FY 2001 Appropriations Act (reference u). For delegated MAIS programs, the MDA shall not approve program initiation or entry into any phase that requires milestone approval (including full-rate production) until the DoD CIO certifies CCA compliance to the congressional defense committees. The DoD CIO will issue guidance on procedures for submitting CCA compliance reports for MAIS. The CCA Compliance Report shall be submitted at least three months before the milestone approval is needed.

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### AC4.2.2 Continued:

The requirement to confirm CCA compliance applies to milestone decisions for each block of an evolutionary acquisition. The requirements of the CCA apply to all IT (including NSS) acquisitions, but the CCA confirmation requirements described above apply only to mission critical and mission essential IT systems. For purposes of CAA certification (as required by Section 8102 of the FY 2001 DoD Appropriations Act (reference u)), all MAIS shall be considered mission critical or mission essential. The CCA certification requirement applies only to MAIS.

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Clinger-Cohen Act (CCA); Sec. 8102 of the FY 2001 Appropriations Act (reference u) Pub. L. 106-259 S 8102 (u)

**Special Note:** Requirement for certification prior to milestone approval for MAISs only

### AC 4.2.3 (Phase C - LRIP) Operational Test Activity Report of Operational Test and Evaluation Results

The DOT&E, shall analyze the results of IOT&E conducted for each Major Defense Acquisition Program (MDAP). At the conclusion of IOT&E, the Director shall prepare a report stating the opinion of the Director as to: (A) Whether the test and evaluation performed were adequate; and (B) Whether the results of such test and evaluation confirm that the items or components actually tested are effective and suitable for combat.

The Director shall submit Beyond-LRIP reports to the Secretary of Defense, the USD(AT&L), and the congressional defense committees. Each such report shall be submitted to those committees in precisely the same form and with precisely the same content as the report originally was submitted to the Secretary and USD(AT&L) and shall be accompanied by such comments as the Secretary may wish to make on the report. A final decision within the DoD to proceed with a MDAP beyond LRIP may not be made until the Director has submitted to the Secretary of Defense the Beyond-LRIP Report with respect to that program and the congressional defense committees have received that report (10 USC 2399).

If the report indicates that either OT&E was inadequate or that the system as tested was ineffective or unsuitable, the DOT&E shall continue to report his or her assessment of test adequacy and system operational effectiveness and suitability, based on FOT&E, in the DOT&E Annual Report.

**Requirement Source:** DoD 5000.2-R (Interim); DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



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### AC 4.2.4 (Phase C-LRIP) Acquisition Strategy (11 elements) Updated

Acquisition Strategy (11 elements) will be Updated as required by the PM during this phase.

The PM will submit an Acquisition Strategy for approval to the MDA. A plan that documents the acquisition planning process and provides a comprehensive approach for achieving goals established in materiel requirements. It summarizes other management planning documents (including the ILSP), Government-furnished materiel to be provided, the acquisition strategy, organizational resources (money, time, people), and schedule.

Acquisition Strategy is a plan that serves as a roadmap for program execution from program initiation through post production support. ACAT I and IA Programs must contain information on: Open Systems Objectives, Sources, Risk Management, CAIV, Contract Approach, Management Approach, Environmental Considerations, Safety and Health Considerations, Modeling and Simulation, Source of Support, Warranties, and Government Property in pos-session of Contractors.

Note 1: AS PART OF ACQ STRATEGY: Competition Analysis (\$3M rule) 10USC 2469 (reference xx))

The Secretary of Defense shall ensure that the performance of a depot-level maintenance and repair workload described in subsection (b) is not changed to performance by a contractor or by another depot-level activity of the Department of Defense unless the change is made using -- (1) merit-based selection procedures for competitions among all depot-level activities of the Department of Defense; or (2) competitive procedures for competitions among private and public sector entities.

Note 2: AS PART OF ACQ STRATEGY: Industrial Capabilities (N/A for AISs) 10USC 2440 (reference nn)) The Secretary of Defense shall prescribe regulations requiring consideration of the national technology and industrial base in the development and implementation of acquisition plans for each major defense acquisition program.

Note 3: AS PART OF ACQ STRATEGY: Cooperative Opportunities 10USC2350a (reference t)) The Secretary of Defense may enter into a memorandum of understanding (or other formal agreement) with one or more major allies of the United States or NATO organizations for the purpose of conducting cooperative research and development projects on defense equipment and munitions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated in previous phase(s), Updated as needed)

### AC 4.2.5 (Phase C- LRIP) Cost Analysis Requirements Description (CARD)

Cost Analysis Requirements Description (CARD) A description of the salient features of the acquisition program and of the system itself. It is the common description of the technical and programmatic features of the program that is used by the teams preparing the program office, component cost analysis, and independent life cycle cost estimates.)

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

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### AC 4.2.6 (Phase C-LRIP) The Test and Evaluation Master Plan (TEMP)

NCSC-TG-024-1, 5.4.1 Test and Evaluation Master Plan (Temp) The TEMP is the primary planning document for T&E. The TEMP is required for all acquisitions. The TEMP should describe the T&E strategy, responsibilities, types of testing, required resources, planned test locations, and milestone schedules. The TEMP is a living document and must be updated as changes occur. From the security standpoint, the ST&E must be explicitly addressed in the TEMP. This is done by tasking the Contractor in the Statement of Work and invoking a CDRL that calls for an a ST&E Annex to the TEMP. A matrix can be used to identify selected security disciplines to be tested.

DoDI 5000.2, Test and Evaluation Master Plan (TEMP) Documents the overall structure and objectives of the test and evaluation (T&E) program. It provides a framework within which to generate detailed T&E plans and it documents schedule and resource implications associated with the T&E program. The TEMP identifies the necessary developmental test and evaluation (DT&E), operational test and evaluation (OT&E) and live fire test and evaluation (LFT&E) activities. It relates program schedule, test management strategy and structure, and required resources to: critical operational issues (COIs); critical technical parameters; objectives and thresholds documented in the Operational Requirements Document (ORD); evaluation criteria; and milestone decision points. For multi-service or joint programs, a single integrated TEMP is required. Component-unique content requirements, particularly evaluation criteria associated with COIs, can be addressed in a component-prepared annex to the basic TEMP.

DoDD 5000.2-R, The PM shall design DT&E objectives appropriate to each phase and milestone of an acquisition program. The Operational Test Agency (OTA) shall design OT&E objectives appropriate to each phase and milestone of a program, and submit them to the PM for inclusion in the Test and Evaluation Master Plan (TEMP). Completed, independent OT&E and completed LFT&E shall support a beyond low-rate initial production (LRIP) decision for acquisition category (ACAT) I and II programs for conventional weapons systems designed for use in combat. For this purpose, OT&E shall require more than an operational assessment (OA) based exclusively on computer modeling, simulation, or an analysis of system requirements, engineering proposals, design specifications, or any other information contained in program documents. (10 USC 239959 and 10 USC 236660)

**Requirement Source:** NCSC-TG-024-1 Volume 1 of 4 (Version 1) December 1992; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoDD 5000.2-R

**Special Note:** (Update, if necessary)

### AC 4.2.7 (Phase C - LRIP) Selected Acquisition Reports (SAR)

(1) The Secretary of Defense shall submit to Congress at the end of each fiscal-year quarter a report on current major defense acquisition programs. Except as provided in paragraphs (2) and (3), each such report shall include a status report on each defense acquisition program that at the end of such quarter is a major defense acquisition program. Reports under this section shall be known as Selected Acquisition Reports.

(2) A status report on a major defense acquisition program need not be included in the Selected Acquisition Report for the second, third, or fourth quarter of a fiscal year if such a report was included in a previous Selected Acquisition Report for that fiscal year and during the period since that report there has been- (A) less than a 15 percent increase in program acquisition unit cost and current procurement unit cost; and (B) less than a six-month delay in any program schedule milestone shown in the Selected Acquisition Report.

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### AC 4.2.7 Continued:

(3) -- (A) The Secretary of Defense may waive the requirement for submission of Selected Acquisition Reports for a program for a fiscal year if- (i) the program has not entered engineering and manufacturing development; (ii) a reasonable cost estimate has not been established for such program; and (iii) the system configuration for such program is not well defined.

(B) The Secretary shall submit to the Committees on Armed Services of the Senate and House of Representatives a written notification of each waiver under subparagraph (A) for a program for a fiscal year not later than 60 days before the President submits the budget to Congress pursuant to section 1105 of title 31 in that fiscal year.

(c) --(1) Each Selected Acquisition Report for the first quarter for a fiscal year shall include-

(A) the same information, in detailed and summarized form, as is provided in reports submitted under section 2431 of this title; (B) the current program acquisition unit cost for each major defense acquisition program included in the report and the history of that cost from the date the program was first included in a Selected Acquisition Report to the end of the quarter for which the current report is submitted; and (C) such other information as the Secretary of Defense considers appropriate.

(2) Each Selected Acquisition Report for the first quarter of a fiscal year shall be designed to provide to the Committees on Armed Services of the Senate and House of Representatives the information such Committees need to perform their oversight functions. Whenever the Secretary of Defense proposes to make changes in the content of the Selected Acquisition Report, the Secretary shall submit a notice of the proposed changes to such committees. The changes shall be considered approved by the Secretary, and may be incorporated into the report, only after the end of the 60-day period beginning on the date on which the notice is received by those committees.

(3) In addition to the material required by paragraphs (1) and (2), each Selected Acquisition Report for the first quarter of a fiscal year shall include the following: (A) A full life-cycle cost analysis for each major defense acquisition program included in the report that is in the engineering and manufacturing development stage or has completed that stage. The Secretary of Defense shall ensure that this subparagraph is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense. (B) If the system that is included in that major defense acquisition program has an antecedent system, a full life-cycle cost analysis for that system.

(4) Selected Acquisition Reports for the first quarter of a fiscal year shall be known as comprehensive annual Selected Acquisition Reports.

(5) The Secretary of Defense shall ensure that paragraph (4) of subsection (a) is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense.

(d) -- (1) Each Selected Acquisition Report for the second, third, and fourth quarters of a fiscal year shall include -- (A) with respect to each major defense acquisition program that was included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (e); and (B) with respect to each major defense acquisition program that was not included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (c).

(2) Selected Acquisition Reports for the second, third, and fourth quarters of a fiscal year shall be known as Quarterly Selected Acquisition Reports.

(e) Information to be included under this subsection in a Quarterly Selected Acquisition Report with respect to a major defense acquisition program is as follows: (1) The quantity of items to be purchased under the program. (2) The program acquisition cost.

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### AC 4.2.7 Continued:

(3) The program acquisition unit cost. (4) The current procurement cost for the program. (5) The current procurement unit cost for the program. (6) The reasons for any change in program acquisition cost, program acquisition unit cost, procurement cost, or procurement unit cost or in program schedule from the previous Selected Acquisition Report. (7) The major contracts under the program and the reasons for any cost or schedule variances under those contracts since the last Selected Acquisition Report. (8) the completion status of the program

(A) expressed as the percentage that the number of years for which funds have been appropriated for the program is of the number of years for which it is planned that funds will be appropriated for the program, and

(B) expressed as the percentage that the amount of funds that have been appropriated for the program is of the total amount of funds which it is planned will be appropriated for the program.

(9) Program highlights since the last Selected Acquisition Report.

(f) Each comprehensive annual Selected Acquisition Report shall be submitted within 60 days after the date on which the President transmits the Budget to Congress for the following fiscal year, and each Quarterly Selected Acquisition Report shall be submitted within 45 days after the end of the fiscal-year quarter.

(g) The requirements of this section with respect to a major defense acquisition program shall cease to apply after 90 percent of the items to be delivered to the United States under the program (shown as the total quantity of items to be purchased under the program in the most recent Selected Acquisition Report) have been delivered or 90 percent of planned expenditures under the program have been made.

For MDAPs, a Milestone B decision shall be the occasion for submission of a revised Selected Acquisition Report (DoD 5000.2-R, reference (h)). IT intended for use by non-military users shall be accessible to people with disabilities (reference (v)).

For MDAPs, a milestone decision shall be the occasion for submission of a revised Selected Acquisition Report (reference (c)).

The LRIP quantity (with rationale for quantities exceeding 10 percent of the total production quantity documented in the acquisition strategy) shall be included in the first Selected Acquisition Report (reference (c)) after its determination. Any increase in quantity after the initial determination shall be approved by the MDA. The LRIP quantity shall not be less than one unit. When approved LRIP quantities are expected to be exceeded because the program has not yet demonstrated readiness to proceed to full-rate production, the MDA shall assess the cost and benefits of a break in production versus continuing annual buys.

A full-rate production and deployment decision shall be the occasion for an update of the Selected Acquisition Report (reference (c))

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2432 (reference (II))

**Special Note:** MDAPs Only

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### AC 4.2.8 (Phase C - LRIP) Unit Cost Report (UCR)

(MDAPs only) The program manager for a major defense acquisition program (other than a program not required to be included in the Selected Acquisition Report for that quarter under section 2432(b)(3) of this title) shall, on a quarterly basis, submit to the service acquisition executive designated by the Secretary concerned a written report on the unit costs of the program. Each report shall be submitted not more than 30 calendar days after the end of that quarter. The program manager shall include in each such unit cost report the following information with respect to the program (as of the last day of the quarter for which the report is made): (1) The program acquisition unit cost. (2) In the case of a procurement program, the procurement unit cost. (3) Any cost variance/schedule variance in a major contract under the program since the contract was entered into. (4) Any changes from program schedule milestones or program performances reflected in the baseline description established under section 2435 of this title that are known, expected, or anticipated by the program manager.

(c) If the program manager of a major defense acquisition program for which a unit cost report has previously been submitted under subsection (b) determines at any time during a quarter that there is reasonable cause to believe-

- (1) that the program acquisition unit cost for the program has increased by at least 15 percent over the program acquisition unit cost for the program as shown in the Baseline Estimate;
- (2) in the case of a major defense acquisition program that is a procurement program, that the procurement unit cost for the program has increased by at least 15 percent over the procurement unit cost for the program as reflected in the Baseline Estimate; or
- (3) that cost variances or schedule variances of a major contract under the program have resulted in an increase in the cost of the contract of at least 15 percent over the cost of the contract as of the time the contract was made; and if a unit cost report indicating an increase of such percentage or more has not previously been submitted to the service acquisition executive designated by the Secretary concerned during the current fiscal year (other than the last quarterly unit cost report under subsection (b) for the preceding fiscal year), then the program manager shall immediately submit to such service acquisition executive a unit cost report containing the information, determined as of the date of the report, required under subsection (b).

(d) -- (1) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program, the service acquisition executive shall determine whether the current program acquisition unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the program acquisition unit cost for the program as shown in the Baseline Estimate.

(2) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program that is a procurement program, the service acquisition executive, in addition to the determination under paragraph (1), shall determine whether the current procurement unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the procurement unit cost for the program as reflected in the Baseline Estimate.

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### AC 4.2.8 Continued:

(3) If, based upon the service acquisition executive's determination, the Secretary concerned determines (for the first time since the beginning of the current fiscal year) that the current program acquisition unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (1) or that the procurement unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (2), the Secretary shall notify Congress in writing of such determination and of the increase with respect to such program. In the case of a determination based on a quarterly report submitted in accordance with subsection (b), the Secretary shall submit the notification to Congress within 45 days after the end of the quarter. In the case of a determination based on a report submitted in accordance with subsection (c), the Secretary shall submit the notification to Congress within 45 days after the date of that report. The Secretary shall include in the notification the date on which the determination was made.

**Requirement Source:** 10 USC 2433 (reference (mm)); DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

### AC 4.2.9 (Phase C - LRIP) Clinger-Cohen Act Compliance

Clinger-Cohen Act Compliance (All IT including NSS) Abstract: Clinger-Cohen Act of 1996. Acq Reform in Action. Legislation and Policies. Clinger-Cohen Act |. In 1996, recognizing the importance of information technology for effective government, the Congress and President enacted the Information Technology Management Reform Act and the Federal Acquisition.

**Requirement Source:** 40USC-1401et seq (ref (u)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (All IT including NSS)

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### AC 4.2.10 (Phase C - LRIP) National Environmental, Policy Act Schedule

42 USC 4321, The Congress, recognizing the profound impact of man's activity on the interrelations of all components of the natural environment, particularly the profound influences of population growth, high-density urbanization, industrial expansion, resource exploitation, and new and expanding technological advances and recognizing further the critical importance of restoring and maintaining environmental quality to the overall welfare and development of man, declares that it is the continuing policy of the Federal Government, in cooperation with State and local governments, and other concerned public and private organizations, to use all practicable means and measures, including financial and technical assistance, in a manner calculated to foster and promote the general welfare, to create and maintain conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations of Americans.

(b) In order to carry out the policy set forth in this chapter, it is the continuing responsibility of the Federal Government to use all practicable means, consistent with other essential considerations of national policy, to improve and coordinate Federal plans, functions, programs, and resources to the end that the Nation may --

- (1) fulfill the responsibilities of each generation as trustee of the environment for succeeding generations;
- (2) assure for all Americans safe, healthful, productive, and esthetically and culturally pleasing surroundings;
- (3) attain the widest range of beneficial uses of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences;
- (4) preserve important historic, cultural, and natural aspects of our national heritage, and maintain, wherever possible, an environment which supports diversity and variety of individual choice;
- (5) achieve a balance between population and resource use which will permit high standards of living and a wide sharing of life's amenities; and
- (6) enhance the quality of renewable resources and approach the maximum attainable recycling of depletable resources.

(c) The Congress recognizes that each person should enjoy a healthful environment and that each person has a responsibility to contribute to the preservation and enhancement of the environment.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 42 USC 4321 (reference (aa))

**Special Note:** N/A

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### AC 4.2.11 (Phase C - LRIP) Component Live Fire Test and Evaluation Report

An independent OSD Live Fire Test and Evaluation Report shall be prepared by the DOT&E within 45 days after receipt of the DoD Component's Live Fire Test Report. The Secretary of Defense (or the DOT&E if so delegated) shall approve the OSD Live Fire Test and Evaluation Report and submit the report to Congress prior to the decision to proceed beyond low-rate initial production. The report shall address survivability or lethality testing in the following cases:

1. Realistic survivability testing of ACAT I and II covered systems programs or covered product improvement programs (see 3.4.9 above, for definition of a "covered major program").
2. Realistic lethality testing of ACAT I and II major munitions programs, missile programs, or major munitions or missile covered product improvement programs.
3. Realistic lethality testing of a major munitions program for which more than 1 million rounds (which may be less than an ACAT II program) are planned to be acquired.

**Requirement Source:** DoD 5000.2-R Jan 99

**Special Note:** Covered Systems Only

### AC 4.2.12 (Phase C-LRIP) Decision Point Exit Criteria

DoD 5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Decision Point Exit Criteria: Beyond Low Rate Initial Production (BLRIP) Report: Completed by the Director, Operational Test and Evaluation (DOT&E) to assess the Initial Operational Test and Evaluation (IOT&E) for a developing system for the Phase C decision. A copy is provided to Congress.

AR70-1, Dec97 Type Classification (TC) is the process through which the MATDEV identifies the degree of acceptability of a materiel item for Army use as required in DOD 5000.2-R. TC provides a guide to authorization, procurement, logistical support, and asset and readiness reporting. TC is an integral part of the process leading up to the Milestone III production approval and eventual fielding of the item. TC will be executed as part of the WIPT(s) under the control of the PM and will not duplicate any of the other functions associated with Milestone III. As with all facets of acquisition, documentation will be held to an absolute minimum. Final approval of TC is the responsibility of the MDA and that approval will be documented in the MS III Acquisition Decision Memorandum (ADM).

**Requirement Source:** DoD 5000.2; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A



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### AC 4.3 (Phase C) Full-Rate Production Decision Review.

Full-Rate Production Decision Review. Before making the full-rate production and deployment decision, the MDA shall consider: The independent cost estimate, and for MAISs, the component cost analysis and economic analysis; The manpower estimate (if applicable).; The results of operational and live fire test and evaluation (if applicable).; CCA compliance certification (reference (k)) and certification for MAISs (reference (r)).; supportability certification.; and Interoperability certification.

Before making the full-rate production and deployment decision, the MDA shall consider:

The independent cost estimate, and for MAISs, the component cost analysis and economic analysis.

The manpower estimate (if applicable).

The results of operational and live fire test and evaluation (if applicable).

CCA compliance certification (reference (m)) and certification for MAISs (reference (u)).

C4I supportability certification.

Interoperability certification.

The MDA shall confirm the acquisition strategy approved prior to the release of the final Request for Proposal, the production acquisition program baseline, provisions for evaluation of post-deployment performance (in accordance with GPRA (reference (x))), CCA (reference (m)), and the Paperwork Reduction Act (reference (ee)), and the acquisition decision memorandum.

A full-rate production and deployment decision shall be the occasion for an update of the Selected Acquisition Report (reference (c)).

Para4.7.3.3.5.1 through 4.7.3.3.5.3.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

#### AC 4.3.1 (Phase C) Acquisition Decision Memorandum (ADM)

The Acquisition Decision Memorandum (ADM) documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R. Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity.

The Defense Acquisition Executive (DAE) will normally sign an Acquisition Decision Memorandum (ADM) following either (1) the Defense Acquisition Board (DAB) Readiness Meeting (DRM), if no issues warrant a DAB review, or (2) the DAB review. There are two basic purposes for an Acquisition Decision Memorandum (ADM): (1) to record the decision made by the DAE; and (2) to provide direction to the Component, Program Manager (PM), or other action addressees.

The DAE objective is to sign the ADM within 48 hours following the DRM or DAB decision; therefore, certain expedited procedures will apply. Immediately following the decision, the DAB Executive Secretary, working in conjunction with the OIPT Leader, will prepare a draft ADM. The DAB Executive Secretary will expedite draft ADM delivery to the DAB Principals, attending senior advisors, and DRM participants, for a 24-hour turn-around for "verification of accuracy." Normally, no response will be taken as a concurrence.

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### AC 4.3.1 Continued:

The ADM package will also transmit any other documents (including attachments) that require DAE signature or approval, such as the APB, exit criteria, acquisition strategy or changes thereto, or portions of a multi-purpose document.

ADMs are based on the proposals of the Component, recommendations of the Overarching Integrated Product Team (OIPT), and the decision of the DAE at the DRM or DAB review. Items not discussed at the DRM or DAB review, or not explicitly decided by the DAE, will not be included in the ADM.

The DAB Executive Secretary will ensure that an ADM recording the decision to proceed beyond Low Rate Initial Production (LRIP) is not signed until the Beyond LRIP and Live Fire Test and Evaluation (LFT&E) reports are received by the Congressional Defense Committees, in accordance with 10 USC 2399 and 10 USC 2366 respectively. He will also ensure that an ADM recording the decision to enter into engineering and manufacturing development or production and deployment is not signed unless an independent estimate of the full life-cycle cost of the program and a manpower estimate for the program have been completed and considered by the DAE, in accordance with 10 USC 2434.

The DAB Executive Secretary will provide the DAB members and senior advisors a copy of the signed ADM. Also, the DAB Executive Secretary will coordinate with OASD(PA) the preparation of any press release concerning the ADM. DoD 5000.2, para 7.8.1 The Defense Acquisition Executive (DAE) shall conduct DAB reviews at major program milestones and at the Full-Rate Production Decision Review (if not delegated to the CAE), and at other times, as necessary. An Acquisition Decision Memorandum (ADM) shall document the decision(s) resulting from the review.

MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Actions required by Acquisition Approving Authority stated in Acquisition Decision Memorandum (ADM) The ADM documents the decisions made at the Defense Acquisition Board (DAB) Milestone Review. It provides written direction to the services, signed by USD/A&T. It is scheduled to be signed within two days following the DAB Milestone Review meeting. Refer to part 5.2.1 of DoD 5000.2-R. Acquisition Categories and Milestone Decision Authority. A technology project or acquisition program shall be categorized based on its location in the acquisition process, dollar value, and complexity

**Requirement Source:** part 5.2.1 of DoD 5000.2-R; DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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### AC 4.3.2 (Phase C -Full Rate Production & Deployment) Independent Estimate of Life-Cycle Cost (n/a for AIS) (MDAPs Only)

Independent Estimate of Life-Cycle Cost (n/a for AIS) (MDAPs Only) Independent Cost Estimate (ICE) A life cycle cost estimate for ACAT I programs prepared by an office or other entity that is not under the supervision, direction, or control of the military department, defense agency, or other component of the DoD that is directly responsible for carrying out the development or acquisition of the program, or if the decision authority has been delegated to a Component, prepared by an office or other entity that is not directly responsible for carrying on the development or acquisition of the program.

**Requirement Source:** 10USC-2434 (ref(oo))

**Special Note:** (n/a for AIS) (MDAPs Only)

### AC 4.3.3 (Phase C -Full Rate Production & Deployment) Clinger-Cohen Act (CCA) Certification to Congressional Defense Committee for MAIS

Requirement for certification prior to milestone approval for MAISs only

The MDA shall not approve program initiation or entry into any phase that requires milestone approval (to include full-rate production) for an acquisition program (at any level) for a mission-critical or mission-essential IT system until the Component CIO confirms that the system is being developed in accordance with the Clinger-Cohen Act (CCA) (reference (m)). At a minimum, the Component CIO's confirmation shall include a written description of the following:

1. The acquisition supports core, priority functions that need to be performed by the Federal Government.
2. No private sector or government source can better support the function.
3. The processes that the system supports have been redesigned to reduce costs, improve effectiveness and maximize the use of COTS technology.
4. An analysis of alternatives has been conducted.
5. For AIS, an economic analysis has been conducted that includes a calculation of the return on investment; or for non-AIS programs, an LCCE has been conducted.
6. There are clearly established measures and accountability for program progress.
7. Mission-related, outcome-based performance measures have been established and linked to strategic goals.
8. The program has an information assurance strategy that is consistent with DoD policies, standards, and Architectures.
9. The acquisition is consistent with the Global Information Grid policies and architecture, to include relevant standards.
10. To the maximum extent practicable, (1) modular contracting is being used, and (2) the program is being implemented in phased, successive blocks, each of which meets part of the mission need and delivers a measurable benefit, independent of future blocks.
11. The system being acquired is registered with the DoD CIO (see 5000.2-R, Appendix G).

For MDAP programs, the Component CIO's confirmation shall be provided to both the DoD CIO and the MDA.

For MAIS programs, the certification shall be submitted to the DoD CIO and will include a CCA Compliance Report that addresses the above items. The DoD CIO will review the CCA Compliance Report and certify to the Congressional defense committees that the MAIS is being developed in accordance with the CCA before approving program initiation or entry into any phase (including full-rate production) that requires a milestone approval, as required by Sec. 8102of the FY 2001 Appropriations Act (reference u). For delegated MAIS programs, the MDA shall not approve program

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### AC 4.3.3 Continued:

initiation or entry into any phase that requires milestone approval (including full-rate production) until the DoD CIO certifies CCA compliance to the congressional defense committees. The DoD CIO will issue guidance on procedures for submitting CCA compliance reports for MAIS. The CCA Compliance Report shall be submitted at least three months before the milestone approval is needed.

The requirement to confirm CCA compliance applies to milestone decisions for each block of an evolutionary acquisition. The requirements of the CCA apply to all IT (including NSS) acquisitions, but the CCA confirmation requirements described above apply only to mission critical and mission essential IT systems. For purposes of CAA certification (as required by Section 8102 of the FY 2001 DoD Appropriations Act (reference u)), all MAIS shall be considered mission critical or mission essential. The CCA certification requirement applies only to MAIS.

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; Clinger-Cohen Act (CCA); Sec. 8102 of the FY 2001 Appropriations Act (reference u) Pub. L. 106-259 S 8102 (u)

**Special Note:** N/A

### AC 4.3.4 (Phase C -Full Rate Production & Deployment) Operational Test Activity Report of Operational Test and Evaluation Results

The DOT&E, shall analyze the results of IOT&E conducted for each Major Defense Acquisition Program (MDAP). At the conclusion of IOT&E, the Director shall prepare a report stating the opinion of the Director as to:

- (A) Whether the test and evaluation performed were adequate; and
- (B) Whether the results of such test and evaluation confirm that the items or components actually tested are effective and suitable for combat.

The Director shall submit Beyond-LRIP reports to the Secretary of Defense, the USD(AT&L), and the congressional defense committees. Each such report shall be submitted to those committees in precisely the same form and with precisely the same content as the report originally was submitted to the Secretary and USD(AT&L) and shall be accompanied by such comments as the Secretary may wish to make on the report. A final decision within the DoD to proceed with a MDAP beyond LRIP may not be made until the Director has submitted to the Secretary of Defense the Beyond-LRIP Report with respect to that program and the congressional defense committees have received that report (10 USC 2399).

If the report indicates that either OT&E was inadequate or that the system as tested was ineffective or unsuitable, the DOT&E shall continue to report his or her assessment of test adequacy and system operational effectiveness and suitability, based on FOT&E, in the DOT&E Annual Report.

**Requirement Source:** DoD 5000.2-R (Interim); DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

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### AC 4.3.5 (Phase C -Full Rate Production & Deployment) Post-Deployment Performance Review

Following IOT&E, the submission of the Beyond LRIP and LFT&E Reports (where applicable) to Congress, the Secretary of Defense, and the USD(AT&L), and the completion of a Full-Rate Production Decision Review by the MDA (or by the person designated by the MDA), the program shall enter Full-Rate Production (or procurement) and Deployment.

**Requirement Source:** 5USC306 (ref (z)) 40USC 1401 et seq (ref (m))

**Special Note:** N/A

### AC 4.3.6 (Phase C -Full Rate Production & Deployment) Beyond-LRIP Report

The DOT&E, shall analyze the results of IOT&E conducted for each Major Defense Acquisition Program (MDAP). At the conclusion of IOT&E, the Director shall prepare a report stating the opinion of the Director as to: (A) Whether the test and evaluation performed were adequate; and (B) Whether the results of such test and evaluation confirm that the items or components actually tested are effective and suitable for combat.

The Director shall submit Beyond-LRIP reports to the Secretary of Defense, the USD(AT&L), and the congressional defense committees. Each such report shall be submitted to those committees in precisely the same form and with precisely the same content as the report originally was submitted to the Secretary and USD(AT&L) and shall be accompanied by such comments as the Secretary may wish to make on the report.

A final decision within the DoD to proceed with a MDAP beyond LRIP may not be made until the Director has submitted to the Secretary of Defense the Beyond-LRIP Report with respect to that program and the congressional defense committees have received that report (10 USC 2399). If the report indicates that either OT&E was inadequate or that the system as tested was ineffective or unsuitable, the DOT&E shall continue to report his or her assessment of test adequacy and system operational effectiveness and suitability, based on FOT&E, in the DOT&E Annual Report.

**Requirement Source:** 10USC2399 (ref (oo))

**Special Note:** (OSD T&E Oversight Programs only)

### AC 4.3.7 (Phase C -Full Rate Production) Interoperability Certification

Interoperability Certification (C3I Systems) Interoperability The ability of systems, units, or forces to provide services to or accept services from other systems, units, or forces and to use the services so exchanged to operate effectively together. The conditions achieved among communications-electronics systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (C3I Systems)

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### AC 4.3.8 (Phase C -Full Rate Production & Deployment) LFT&E Report

LFT&E shall begin at the component, subsystem, and subassembly level, and culminate with tests of the complete system, configured for combat. A covered system shall not proceed beyond LRIP (or equivalent point) until LFT&E is completed and the prescribed congressional committees receive the required LFT&E report (10 USC 2366). The PM shall conduct LFT&E sufficiently early in the program life cycle to allow time to correct any design deficiency demonstrated by LFT&E. The PM shall correct the design or recommend adjusting the employment of the covered system before proceeding beyond LRIP.

**Requirement Source:** 10USC2366 (ref (vy)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** OSD-covered Programs only

### AC 4.3.9 (Phase C -Full Rate Production & Deployment) C4I Supportability Certification

The J-6 certifies to ASD(C3I) that C4ISPs, regardless of ACAT, adequately address NSS and ITS infrastructure requirements, the availability of bandwidth and spectrum support, funding, personnel, and identify dependencies and interface requirements between systems. As part of the review process, J-6 requests supportability assessments from DISA and DoD agencies. CINCs are provided the opportunity to review and comment on documents, regardless of ACAT, during the J-6 supportability certification process. J-6 conducts a supportability certification for C4ISPs prior to Milestone I, II, and III for submission to ASD(C3I) as part of the C4ISP review process. In a separate, but related process, the J-2 provides an intelligence supportability certification.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; CJCSI 6212.01B Interoperability and Supportability of National Security Systems, and Information Technology Systems, 8 May 2000

**Special Note:** N/A

### AC 4.3.10 (Phase C-Full Rate Production DR) Cost Analysis Requirements Description (CARD)

Cost Analysis Requirements Description (CARD) A description of the salient features of the acquisition program and of the system itself. It is the common description of the technical and programmatic features of the program that is used by the teams preparing the program office, component cost analysis, and independent life cycle cost estimates.)

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

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### AC 4.3.11 (Phase C-Full Rate Production DR) The Test and Evaluation Master Plan (TEMP)

NCSC-TG-024-1, 5.4.1 Test and Evaluation Master Plan (Temp) The TEMP is the primary planning document for T&E. The TEMP is required for all acquisitions. The TEMP should describe the T&E strategy, responsibilities, types of testing, required resources, planned test locations, and milestone schedules. The TEMP is a living document and must be updated as changes occur. From the security standpoint, the ST&E must be explicitly addressed in the TEMP. This is done by tasking the Contractor in the Statement of Work and invoking a CDRL that calls for an a ST&E Annex to the TEMP. A matrix can be used to identify selected security disciplines to be tested.

DoDI 5000.2, Test and Evaluation Master Plan (TEMP) Documents the overall structure and objectives of the test and evaluation (T&E) program. It provides a framework within which to generate detailed T&E plans and it documents schedule and resource implications associated with the T&E program. The TEMP identifies the necessary developmental test and evaluation (DT&E), operational test and evaluation (OT&E) and live fire test and evaluation (LFT&E) activities. It relates program schedule, test management strategy and structure, and required resources to: critical operational issues (COIs); critical technical parameters; objectives and thresholds documented in the Operational Requirements Document (ORD); evaluation criteria; and milestone decision points. For multi-service or joint programs, a single integrated TEMP is required. Component-unique content requirements, particularly evaluation criteria associated with COIs, can be addressed in a component-prepared annex to the basic TEMP.

DoDD 5000.2-R, The PM shall design DT&E objectives appropriate to each phase and milestone of an acquisition program. The Operational Test Agency (OTA) shall design OT&E objectives appropriate to each phase and milestone of a program, and submit them to the PM for inclusion in the Test and Evaluation Master Plan (TEMP). Completed, independent OT&E and completed LFT&E shall support a beyond low-rate initial production (LRIP) decision for acquisition category (ACAT) I and II programs for conventional weapons systems designed for use in combat. For this purpose, OT&E shall require more than an operational assessment (OA) based exclusively on computer modeling, simulation, or an analysis of system requirements, engineering proposals, design specifications, or any other information contained in program documents. (10 USC 239959 and 10 USC 236660)

**Requirement Source:** NCSC-TG-024-1 Volume 1 of 4 (Version 1) December 1992; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; DoDD 5000.2-R

**Special Note:** (Update, if necessary)

### AC 4.3.12 (Phase C-Full Rate Production DR ) Selected Acquisition Reports (SAR)

(1) The Secretary of Defense shall submit to Congress at the end of each fiscal-year quarter a report on current major defense acquisition programs. Except as provided in paragraphs (2) and (3), each such report shall include a status report on each defense acquisition program that at the end of such quarter is a major defense acquisition program. Reports under this section shall be known as Selected Acquisition Reports.

(2) A status report on a major defense acquisition program need not be included in the Selected Acquisition Report for the second, third, or fourth quarter of a fiscal year if such a report was included in a previous Selected Acquisition Report for that fiscal year and during the period since that report there has been- (A) less than a 15 percent increase in

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### AC 4.3.12 Continued:

program acquisition unit cost and current procurement unit cost; and (B) less than a six-month delay in any program schedule milestone shown in the Selected Acquisition Report.

(3) -- (A) The Secretary of Defense may waive the requirement for submission of Selected Acquisition Reports for a program for a fiscal year if- (i) the program has not entered engineering and manufacturing development; (ii) a reasonable cost estimate has not been established for such program; and (iii) the system configuration for such program is not well defined.

(B) The Secretary shall submit to the Committees on Armed Services of the Senate and House of Representatives a written notification of each waiver under subparagraph (A) for a program for a fiscal year not later than 60 days before the President submits the budget to Congress pursuant to section 1105 of title 31 in that fiscal year.

(c) -- (1) Each Selected Acquisition Report for the first quarter for a fiscal year shall include (A) the same information, in detailed and summarized form, as is provided in reports submitted under section 2431 of this title; (B) the current program acquisition unit cost for each major defense acquisition program included in the report and the history of that cost from the date the program was first included in a Selected Acquisition Report to the end of the quarter for which the current report is submitted; and (C) such other information as the Secretary of Defense considers appropriate.

(2) Each Selected Acquisition Report for the first quarter of a fiscal year shall be designed to provide to the Committees on Armed Services of the Senate and House of Representatives the information such Committees need to perform their oversight functions. Whenever the Secretary of Defense proposes to make changes in the content of the Selected Acquisition Report, the Secretary shall submit a notice of the proposed changes to such committees. The changes shall be considered approved by the Secretary, and may be incorporated into the report, only after the end of the 60-day period beginning on the date on which the notice is received by those committees.

(3) In addition to the material required by paragraphs (1) and (2), each Selected Acquisition Report for the first quarter of a fiscal year shall include the following: (A) A full life-cycle cost analysis for each major defense acquisition program included in the report that is in the engineering and manufacturing development stage or has completed that stage. The Secretary of Defense shall ensure that this subparagraph is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense. (B) If the system that is included in that major defense acquisition program has an antecedent system, a full life-cycle cost analysis for that system.

(4) Selected Acquisition Reports for the first quarter of a fiscal year shall be known as comprehensive annual Selected Acquisition Reports.



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### AC 4.3.12 Continued:

(5) The Secretary of Defense shall ensure that paragraph (4) of subsection (a) is implemented in a uniform manner, to the extent practicable, throughout the Department of Defense.

(d) -- (1) Each Selected Acquisition Report for the second, third, and fourth quarters of a fiscal year shall include -- (A) with respect to each major defense acquisition program that was included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (e); and (B) with respect to each major defense acquisition program that was not included in the most recent comprehensive annual Selected Acquisition Report, the information described in subsection (c). (2) Selected Acquisition Reports for the second, third, and fourth quarters of a fiscal year shall be known as Quarterly Selected Acquisition Reports.

(e) Information to be included under this subsection in a Quarterly Selected Acquisition Report with respect to a major defense acquisition program is as follows: (1) The quantity of items to be purchased under the program. (2) The program acquisition cost. (3) The program acquisition unit cost. (4) The current procurement cost for the program. (5) The current procurement unit cost for the program. (6) The reasons for any change in program acquisition cost, program acquisition unit cost, procurement cost, or procurement unit cost or in program schedule from the previous Selected Acquisition Report. (7) The major contracts under the program and the reasons for any cost or schedule variances under those contracts since the last Selected Acquisition Report. (8) The completion status of the program

(A) expressed as the percentage that the number of years for which funds have been appropriated for the program is of the number of years for which it is planned that funds will be appropriated for the program, and (B) expressed as the percentage that the amount of funds that have been appropriated for the program is of the total amount of funds which it is planned will be appropriated for the program.

(9) Program highlights since the last Selected Acquisition Report.

(f) Each comprehensive annual Selected Acquisition Report shall be submitted within 60 days after the date on which the President transmits the Budget to Congress for the following fiscal year, and each Quarterly Selected Acquisition Report shall be submitted within 45 days after the end of the fiscal-year quarter.

(g) The requirements of this section with respect to a major defense acquisition program shall cease to apply after 90 percent of the items to be delivered to the United States under the program (shown as the total quantity of items to be purchased under the program in the most recent Selected Acquisition Report) have been delivered or 90 percent of planned expenditures under the program have been made.

For MDAPs, a Milestone B decision shall be the occasion for submission of a revised Selected Acquisition Report (DoD 5000.2-R, reference (h)). IT intended for use by non-military users shall be accessible to people with disabilities (reference (v)).

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### AC 4.3.12 Continued:

For MDAPs, a milestone decision shall be the occasion for submission of a revised Selected Acquisition Report (reference (c)).

The LRIP quantity (with rationale for quantities exceeding 10 percent of the total production quantity documented in the acquisition strategy) shall be included in the first Selected Acquisition Report (reference (c)) after its determination. Any increase in quantity after the initial determination shall be approved by the MDA. The LRIP quantity shall not be less than one unit. When approved LRIP quantities are expected to be exceeded because the program has not yet demonstrated readiness to proceed to full-rate production, the MDA shall assess the cost and benefits of a break in production versus continuing annual buys.

A full-rate production and deployment decision shall be the occasion for an update of the Selected Acquisition Report (reference (c))

**Requirement Source:** DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 10 USC 2432 (reference (II))

**Special Note:** MDAPs Only

### AC 4.3.13 (Phase C -Full Rate Production DR ) Unit Cost Report (UCR)

(MDAPs only) The program manager for a major defense acquisition program (other than a program not required to be included in the Selected Acquisition Report for that quarter under section 2432(b)(3) of this title) shall, on a quarterly basis, submit to the service acquisition executive designated by the Secretary concerned a written report on the unit costs of the program. Each report shall be submitted not more than 30 calendar days after the end of that quarter. The program manager shall include in each such unit cost report the following information with respect to the program (as of the last day of the quarter for which the report is made):

- (1) The program acquisition unit cost.
- (2) In the case of a procurement program, the procurement unit cost.
- (3) Any cost variance/schedule variance in a major contract under the program since the contract was entered into.
- (4) Any changes from program schedule milestones or program performances reflected in the baseline description established under section 2435 of this title that are known, expected, or anticipated by the program manager.

(c) If the program manager of a major defense acquisition program for which a unit cost report has previously been submitted under subsection (b) determines at any time during a quarter that there is reasonable cause to believe- (1) that the program acquisition unit cost for the program has increased by at least 15 percent over the program acquisition unit cost for the program as shown in the Baseline Estimate; (2) in the case of a major defense acquisition program that is a procurement program, that the procurement unit cost for the program has increased by at least 15 percent over the procurement unit cost for the program as reflected in the Baseline Estimate; or (3) that cost variances or schedule variances of a major contract under the program have resulted in an increase in the cost of the contract of at least 15

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### AC 4.3.13 Continued:

percent over the cost of the contract as of the time the contract was made; and if a unit cost report indicating an increase of such percentage or more has not previously been submitted to the service acquisition executive designated by the Secretary concerned during the current fiscal year (other than the last quarterly unit cost report under subsection (b) for the preceding fiscal year), then the program manager shall immediately submit to such service acquisition executive a unit cost report containing the information, determined as of the date of the report, required under subsection (b).

(d) -- (1) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program, the service acquisition executive shall determine whether the current program acquisition unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the program acquisition unit cost for the program as shown in the Baseline Estimate. (2) When a unit cost report is submitted to the service acquisition executive designated by the Secretary concerned under this section with respect to a major defense acquisition program that is a procurement program, the service acquisition executive, in addition to the determination under paragraph (1), shall determine whether the current procurement unit cost for the program has increased by at least 15 percent, or by at least 25 percent, over the procurement unit cost for the program as reflected in the Baseline Estimate. (3) If, based upon the service acquisition executive's determination, the Secretary concerned determines (for the first time since the beginning of the current fiscal year) that the current program acquisition unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (1) or that the procurement unit cost has increased by at least 15 percent, or by at least 25 percent, as determined under paragraph (2), the Secretary shall notify Congress in writing of such determination and of the increase with respect to such program. In the case of a determination based on a quarterly report submitted in accordance with subsection (b), the Secretary shall submit the notification to Congress within 45 days after the end of the quarter. In the case of a determination based on a report submitted in accordance with subsection (c), the Secretary shall submit the notification to Congress within 45 days after the date of that report. The Secretary shall include in the notification the date on which the determination was made.

**Requirement Source:** 10 USC 2433 (reference (mm)); DoD 5000.2; DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (MDAPs Only)

### AC 4.3.14 (Phase C-Full Rate Production DR) Clinger-Cohen Act Compliance

Clinger-Cohen Act Compliance (All IT including NSS) Abstract: Clinger-Cohen Act of 1996. Acq Reform in Action. Legislation and Policies. Clinger-Cohen Act ]. In 1996, recognizing the importance of information technology for effective government, the Congress and President enacted the Information Technology Management Reform Act and the Federal Acquisition.

**Requirement Source:** 40USC-1401et seq (ref (u)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (All IT including NSS)

## Section 4: Production and Development

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### AC 4.3.15 (Phase C - Full Rate Production DR) National Environmental, Policy Act Schedule

42 USC 4321, The Congress, recognizing the profound impact of man's activity on the interrelations of all components of the natural environment, particularly the profound influences of population growth, high-density urbanization, industrial expansion, resource exploitation, and new and expanding technological advances and recognizing further the critical importance of restoring and maintaining environmental quality to the overall welfare and development of man, declares that it is the continuing policy of the Federal Government, in cooperation with State and local governments, and other concerned public and private organizations, to use all practicable means and measures, including financial and technical assistance, in a manner calculated to foster and promote the general welfare, to create and maintain conditions under which man and nature can exist in productive harmony, and fulfill the social, economic, and other requirements of present and future generations of Americans.

(b) In order to carry out the policy set forth in this chapter, it is the continuing responsibility of the Federal Government to use all practicable means, consistent with other essential considerations of national policy, to improve and coordinate Federal plans, functions, programs, and resources to the end that the Nation may -- (1) fulfill the responsibilities of each generation as trustee of the environment for succeeding generations; (2) assure for all Americans safe, healthful, productive, and esthetically and culturally pleasing surroundings; (3) attain the widest range of beneficial uses of the environment without degradation, risk to health or safety, or other undesirable and unintended consequences; (4) preserve important historic, cultural, and natural aspects of our national heritage, and maintain, wherever possible, an environment which supports diversity and variety of individual choice; (5) achieve a balance between population and resource use which will permit high standards of living and a wide sharing of life's amenities; and (6) enhance the quality of renewable resources and approach the maximum attainable recycling of depletable resources.

(c) The Congress recognizes that each person should enjoy a healthful environment and that each person has a responsibility to contribute to the preservation and enhancement of the environment.

**Requirement Source:** DoDI 5000.2, Operation of the Defense Acquisition System (Including Change 1) 4 January 2001; 42 USC 4321 (reference (aa))

**Special Note:** N/A

### AC 4.3.16 (Phase C-Full Rate Production DR) Component Cost Analysis (CCA)

Component Cost Analysis (CCA) A cost estimate prepared by an office or other entity of a military department that is outside the chain of command of that military department's authority responsible for developing or acquiring the program.

**Requirement Source:** Pub L. 106-79, Section 8121 (b) (ref(r)); DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (Mandatory for MAIS; as requested by CAE for MDAP)

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### AC 4.3.17 (Phase C-Full Rate Production DR) The Acquisition Program Baseline (APB)

DoD 5000.2-R (Interim), Every acquisition program shall establish an APB beginning at program initiation. The PM shall base the APB on users' performance requirements, schedule requirements, and estimate of total program cost. Performance shall include interoperability, supportability and, as applicable, environmental requirements. The department shall not obligate funds for ACAT I or ACAT IA programs beyond Milestone B until the MDA approves the APB, unless the Under Secretary of Defense (Acquisition, Technology and Logistics (USD(AT&L)) (for ACAT I) or the Assistant Secretary of Defense (Command, Control, Communications and Intelligence) (ASD(C3I)) (for ACAT IA) specifically approves the obligation (10 USC 2435(b)5). The APB satisfies requirements derived from both 10 USC 2220(a)(1)6 and 10 USC 2435.

The Acquisition Program Baseline at a minimum contain:

**Performance.** The total number of performance parameters shall be the minimum number needed to characterize the major drivers of operational performance, supportability, and interoperability (10 USC 2435). This minimum number shall include the KPPs identified in the ORD. The value of a threshold or objective in the APB shall not differ from the value for a like threshold or objective in the ORD, and their definitions shall be consistent. The MDA may add additional performance parameters not validated by the JROC. The number and specificity of performance parameters increase with time. Early in a program the PM shall use a minimum number of broadly defined, operational-level, measures of effectiveness or performance to describe needed capabilities. As program, system level requirements become better defined, the PM may designate a limited number of additional, specific, program parameters, as necessary.

**Schedule.** Schedule parameters shall minimally include dates for program initiation, major decision points, and the attainment of initial operating capability. The PM may propose, for MDA approval, other, specific, critical, system events, as necessary. In accordance with 10 USC 1817 the JROC shall evaluate program schedule criteria, including critical schedule dates, for ACAT I programs.

**Cost.** Cost parameters shall identify TOC (broken-out into direct costs: research, development, test, and evaluation costs, procurement costs, military construction costs, operations and support costs (to include environmental, safety, and occupational health compliance costs), and the costs of acquisition items procured with operations and maintenance funds, if applicable; indirect costs attributable to the systems; and infrastructure costs not directly attributable to the system); total quantity (including both fully configured development and production units) costs; average procurement unit cost (defined as the total procurement cost divided by total procurement quantity); program acquisition unit cost (defined as the total of all acquisition related appropriations divided by the total quantity of fully configured end items); and other cost objectives designated by the MDA. For reporting purposes, the PM shall use life-cycle costs as defined in DoD 5000.4-M8. The PM shall present cost figures in base year dollars.

Cost figures shall initially reflect realistic estimates of the total program, including a thorough assessment of risk. As the program progresses, the PM shall refine procurement costs based on contractor actual (return) costs from component advanced development, system integration, and system demonstration, as available, and from low-rate initial production. The PM shall include the refined estimate in the next required submittal of the APB. Budgeted amounts shall not exceed the total cost thresholds in the APB. For ACAT IA programs, ACAT I cost parameters shall apply with the addition of military pay and the cost of acquisition items procured with Defense Working Capital Funds. The JROC shall evaluate program cost criteria for ACAT I programs (10 USC 181).

**Requirement Source:** 10USC-2364 (ref(hh)); 10 USC 2220(a)(1)6 and 10 USC 2435. DoD 5000.2-R (Interim) 4 Jan 2001; 10 USC 2220(a)(1)6; 10 USC 2435; 10 USC 181; DoD Manual 5000.4-M

**Special Note:** ( Updated as needed)

## Section 4: Production and Development

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### AC 4.3.18 (Phase C - Full Rate Production DR) Acquisition Strategy (11 elements)

If Program was initiated in Phase A, Acquisition Strategy (11 elements) will be Updated as required by the PM during this phase.

If not, the PM will submit an Acquisition Strategy for approval to the MDA. A plan that documents the acquisition planning process and provides a comprehensive approach for achieving goals established in materiel requirements. It summarizes other management planning documents (including the ILSP), Government-furnished materiel to be provided, the acquisition strategy, organizational resources (money, time, people), and schedule.

Acquisition Strategy is a plan that serves as a roadmap for program execution from program initiation through post production support. ACAT I and IA Programs must contain information on: Open Systems Objectives, Sources, Risk Management, CAIV, Contract Approach, Management Approach, Environmental Considerations, Safety and Health Considerations, Modeling and Simulation, Source of Support, Warranties, and Government Property in pos-session of Contractors.

Note 1: AS PART OF ACQ STRATEGY: Competition Analysis (\$3M rule) 10USC 2469 (reference (xx))

The Secretary of Defense shall ensure that the performance of a depot-level maintenance and repair workload described in subsection (b) is not changed to performance by a contractor or by another depot-level activity of the Department of Defense unless the change is made using -- (1) merit-based selection procedures for competitions among all depot-level activities of the Department of Defense; or (2) competitive procedures for competitions among private and public sector entities.

Note 2: AS PART OF ACQ STRATEGY: Industrial Capabilities (N/A for AISs) 10USC 2440 (reference nn)) The Secretary of Defense shall prescribe regulations requiring consideration of the national technology and industrial base in the development and implementation of acquisition plans for each major defense acquisition program.

Note 3: AS PART OF ACQ STRATEGY: Cooperative Opportunities 10USC2350a (reference t)) The Secretary of Defense may enter into a memorandum of understanding (or other formal agreement) with one or more major allies of the United States or NATO organizations for the purpose of conducting cooperative research and development projects on defense equipment and munitions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** (If program initiated in Phase A, Updated as needed)

## Section 4: Production and Development

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### AC 4.3.19 (Phase C-Full Rate Production) Decision Point Exit Criteria

DoD5000.2, para 7.4, MDAs shall use exit criteria to establish goals for ACAT I (10 USC 2220(a)(1)128) and ACAT IA (CCA129) programs during an acquisition phase. At each milestone decision point and at each decision review, the PM shall propose exit criteria appropriate to the next phase or effort of the program. The MDA shall approve and publish exit criteria in the ADM.

Phase-specific exit criteria normally track progress in important technical, schedule, or management risk areas. The exit criteria serve as accomplishments that, when successfully achieved, demonstrate that the program is on track to achieve its final program goals. They shall be a factor in the MDA's determination of whether a program should continue with additional activities within the same acquisition phase, or continue into the next phase. Exit criteria shall not be part of the APB and are not intended to repeat or replace APB requirements or the entrance criteria specified in DoDI 5000.2 (reference (b)). They shall not cause program deviations. The Defense Acquisition Executive Summary (DAES) (see 7.15.3 and Appendix A) shall report the status of exit criteria.

Decision Point Exit Criteria: Beyond Low Rate Initial Production (BLRIP) Report: Completed by the Director, Operational Test and Evaluation (DOT&E) to assess the Initial Operational Test and Evaluation (IOT&E) for a developing system for the Phase C decision. A copy is provided to Congress.

AR70-1, Dec97 Type Classification (TC) is the process through which the MATDEV identifies the degree of acceptability of a materiel item for Army use as required in DOD 5000.2-R. TC provides a guide to authorization, procurement, logistical support, and asset and readiness reporting. TC is an integral part of the process leading up to the Milestone III production approval and eventual fielding of the item. TC will be executed as part of the WIPT(s) under the control of the PM and will not duplicate any of the other functions associated with Milestone III. As with all facets of acquisition, documentation will be held to an absolute minimum. Final approval of TC is the responsibility of the MDA and that approval will be documented in the MS III Acquisition Decision Memorandum (ADM).

**Requirement Source:** DoD 5000.2; DoDI 5000.2, Operation of the Defense Acquisition System, dtd 23 Oct 2000

**Special Note:** N/A

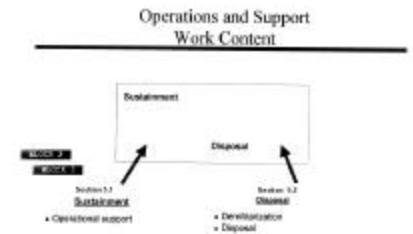
## Section 5: Operations and Support

### AC 5 Operations and Support; Disposal

The objectives of this activity are the execution of a support program that meets operational support performance requirements and sustainment of systems in the most cost-effective manner for the life cycle of the system. When the system has reached the end of its useful life, it must be disposed of in an appropriate manner.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



#### AC 5.1 Operations and Support) Sustainment

The sustainment program includes all elements necessary to maintain the readiness and operational capability of deployed systems.

The scope of support varies among programs but generally includes supply, maintenance, transportation, sustaining engineering, data management, configuration management, manpower, personnel, training, habitability, survivability, safety, occupational health, protection of Critical Program Information (CPI), anti-tamper provisions, IT (including NSS) supportability and interoperability, and environmental management functions.

This activity also includes the execution of operational support plans in peacetime, crisis, and wartime.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

##### AC 5.1.1 (Operations and Support) Sustainment Programs

The sustainment program includes all elements necessary to maintain the readiness and operational capability of deployed systems.

The scope of support varies among programs but generally includes supply, maintenance, transportation, sustaining engineering, data management, configuration management, manpower, personnel, training, habitability, survivability, safety, occupational health, protection of Critical Program Information (CPI), anti-tamper provisions, IT (including NSS) supportability and interoperability, and environmental management functions.

This activity also includes the execution of operational support plans in peacetime, crisis, and wartime.

The Department must develop a system to assess customer confidence at each step of the requirement and distribution chain. The primary metric of confidence shall be customer wait time. In order to achieve customer confidence, the system shall use a simplified priority system driven by user need date, be integrated to allow total asset visibility, and use a fully integrated data environment to ensure the joint users' ability to make timely and confident logistics decisions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A



## Section 5: Operations and Support

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### AC 5.1.2 (Operations and Support) Software Enhancements

Programs with software components must be capable of responding to emerging requirements that will require software modification or periodic enhancements after a system is deployed.

The Department must develop a system to assess customer confidence at each step of the requirement and distribution chain. The primary metric of confidence shall be customer wait time. In order to achieve customer confidence, the system shall use a simplified priority system driven by user need date, be integrated to allow total asset visibility, and use a fully integrated data environment to ensure the joint users' ability to make timely and confident logistics decisions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 5.1.3 (Operations and Support) Follow-on OT&E

A follow-on operational test and evaluation program that evaluates operational effectiveness, survivability, suitability, and interoperability, and that identifies deficiencies shall be conducted, as appropriate (reference (c)).

The Department must develop a system to assess customer confidence at each step of the requirement and distribution chain. The primary metric of confidence shall be customer wait time. In order to achieve customer confidence, the system shall use a simplified priority system driven by user need date, be integrated to allow total asset visibility, and use a fully integrated data environment to ensure the joint users' ability to make timely and confident logistics decisions.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 5.1.4 (Operations and Support) Evolutionary Sustainment

Evolutionary Sustainment. Supporting the tenets of evolutionary acquisition, sustainment strategies must evolve and be refined throughout the life cycle, particularly during development of subsequent blocks of an evolutionary strategy, modifications, upgrades, and reprourement.

The PM shall ensure that a flexible, performance-oriented strategy to sustain systems is developed and executed. This strategy will include consideration of the full scope of operational support, such as maintenance, supply, transportation, sustaining engineering, spectrum supportability, configuration and data management, manpower, training, environmental, health, safety, disposal and security factors.

The use of performance requirements or conversion to performance requirements shall be emphasized during reprourement of systems, subsystems, components, spares, and services after the initial production contract.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 5: Operations and Support

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### **AC 5.1.5 (Operations and Support) Follow-on Blocks for Evolutionary Acquisition**

Evolutionary acquisition strategies are the preferred approach to satisfying operational needs.

Evolutionary acquisition strategies define, develop, test, and produce/deploy an initial, militarily useful capability ("Block 1") and plan for subsequent definition, development, test and production/deployment of increments beyond the initial capability over time (Blocks 2, 3, and beyond). The scope, performance capabilities, and timing of subsequent increments shall be based on continuous communications among the requirements, acquisition, intelligence, logistics, and budget communities. Acquisition strategy considerations for evolutionary acquisition are described in subparagraph 4.7.3.2.3.3.

The requirements community shall ensure that user requirements are prioritized (and constrained, if necessary) for both the capability in the initial block and the increasing functionality in subsequent blocks.

The PM shall balance the need to meet evolving user requirements (responsiveness) against the ability of the users to support continued training and repeated deployments for new blocks (turbulence). The PM shall also consider the ability of the system contractor(s) to develop/integrate, test, and deploy multiple concurrent blocks.

Para 4.7.5.1 through 4.7.5.3

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### **AC 5.1.6 (Operations and Sustainment) Funds Management Programming (BA Type- O&M) Maintenance and Sustainment**

O&M for Sustainment and Maintenance Support Functions

**Requirement Source:** Program Budget and Accounting System (PBAS)

**Special Note:** N/A

### **AC 5.2 (Operations and Support) Disposal**

Dispose of Systems. At the end of its useful life, a system must be demilitarized and disposed.

The PM shall address in the acquisition strategy demilitarization and disposal requirements and shall ensure that sufficient information exists so that disposal can be carried out in a way that is in accordance with all legal and regulatory requirements relating to safety, security, and the environment.

The Defense Reutilization and Marketing Office shall execute the PM's strategy and demilitarize and dispose of items assigned to the Office.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 5: Operations and Support

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### AC 5.2.1 (Disposal) Demilitarization

At the end of its useful life, a system must be demilitarized and disposed.

The PM shall address in the acquisition strategy demilitarization and disposal requirements and shall ensure that sufficient information exists so that disposal can be carried out in a way that is in accordance with all legal and regulatory requirements relating to safety, security, and the environment.

The Defense Reutilization and Marketing Office shall execute the PM's strategy and demilitarize and dispose of items assigned to the Office.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

### AC 5.2.2 (Disposal) Disposal of Systems

At the end of its useful life, a system must be demilitarized and disposed.

The PM shall address in the acquisition strategy demilitarization and disposal requirements and shall ensure that sufficient information exists so that disposal can be carried out in a way that is in accordance with all legal and regulatory requirements relating to safety, security, and the environment.

The Defense Reutilization and Marketing Office shall execute the PM's strategy and demilitarize and dispose of items assigned to the Office.

**Requirement Source:** DoDI 5000.2 Operation of the Defense Acquisition System (Including Change 1) 4 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6 Contracting

FAR Part 2, Contract means a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to) awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. 6301, et seq.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A



#### AC 6.1 (Operations) Contingency contracting

FM 100-10-2 Contingency contracting is the process by which essential supplies and services needed to sustain deployed forces are obtained on behalf of the US Government. It includes emergency contracting in the continental United States (CONUS) or outside the continental United States (OCONUS) for those actions necessary to support mobilizing and deploying units. This manual addresses contingency contracting, commonly associated with Army contracting personnel procuring goods and services in support of deployed Army forces to supplement organic combat service support (CSS) capabilities.

FFARS Part 1 para 1.602-2 - Contingency contracting. Commanders of FORSCOM installations at which deployable brigade or higher level units are stationed will ensure that a qualified military attorney is available to deploy with a contracting team as the team's legal advisor. The determination of whether the legal advisor will deploy will be based on an assessment of the contracting mission requirements, the feasibility of performing legal reviews from home station through use of advanced automation and communications technology, and the availability of other qualified legal advisors in the location to which the unit is deploying.

The head of the contracting activity or designee has the flexibility to allow an award of a letter contract when there is not enough time to make a definitized award (FAR 16.603). The only clauses required to be included in the letter contract concern the price definitization schedule (FAR 52.216-24) and limitation of Government liability (FAR 52.216-25). While there is no firm rule dictating how long a contingency contract may run, periods of performance as long as nine months have been found justified, yet in another case four months was considered excessive. Even without precise guidelines and a step-by step procedure outlined by FAR or statute, existing acquisition rules have enough built-in flexibility to allow contracting officers to quickly respond to emergencies without waivers or deviations from required procedures.

**Requirement Source:** Federal Acquisition Regulation (FAR); FM 100-10-2, Contracting Support on the Battlefield, 15 April 1999; FFARS Part 1, FORSCOM Acquisition Regulation System, April 1999

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.1.1 (Operations) Contract Environment

Contract Environment :Contracting plays a key role in the Army's ability to support this mission, and provides a responsive alternative to increasing the number of support forces necessary to perform the mission. During every phase of an operation, contracting support can be used to augment the support structure. Contracting personnel should arrive with or before the lead ground elements to establish contracting operations, and depart with or after the last ground elements to close out those operations. Contracting personnel establish their operations with or near the local vendor base to support deployed forces.

Contingency contracting personnel, teamed with RMO, Finance and legal personnel, work with HNS and/or LOGCAP to fill CSS voids during entry operations caused by CSS units physically moving to the mission area. Contracting personnel allow commanders to leverage support from the local economy, saving valuable aircraft and ship space for higher priority cargo. Typical contracted support during this phase includes items essential for force protection and early sustainment, such as bottled water, lumber, transportation and line-haul, potable ice, commercial feeding or ration supplements, laundry and shower services, fuel, trash removal, and portable latrines

**Requirement Source:** FM 100-10-2, Contracting Support on the Battlefield, 15 April 1999

**Special Note:** N/A

### AC 6.1.2 (Operations) Contract Planning

Contract Planning means the process by which the efforts of all personnel responsible for an contract are coordinated and integrated through a comprehensive plan for fulfilling the agency need in a timely manner and at a reasonable cost. It includes developing the overall strategy for managing the acquisition.

The authority to contract for supplies and services originates with the Secretary of the Army and is different from the authority to command. Contracting authority, while separate and distinct from command authority, supports the goals and objectives of the chain of command while avoiding conflicts of interest.

Statutory requirements, executive orders, and regulations strictly govern contracting operations. When considering the use of contracting support, commanders and staff planners must be aware of the framework within which contracting elements are permitted to operate. Planners must work closely with operational and contract lawyers at their supporting Staff Judge Advocate's office, and their contracting officers, to ensure their expectations of contingency contracting are executable, supportable, and within the limits of contract and fiscal law and policy.

**Requirement Source:** FM 100-10-2, Contracting Support on the Battlefield, 15 April 1999

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.1.3 (Operations) Contract Formation

Contract Formation: The PARC within the Army Service Component Command plans and manages all Army contracting originating in the theater. The TSC Contracting Directorate forms the Army's theater contracting office.

The principal statutes which describe specific methods of forming Government contracts are the Armed Services Procurement Act of 1947, 10 U.S.C.2301 et seq. ("ASPA"); the Federal Property and Administrative Services Act of 1949, 40 U.S.C.471 et seq. ("FPASA"); and the Office of Federal Procurement Policy Act, 41 U.S.C.401 et seq. ("OFPPA"). ASPA applies to DoD, NASA and the Coast Guard. FPASA applies to civilian agencies. OFPPA applies to Executive Branch agencies generally, both military and civilian. These three statutes specifically prescribe methods of forming Government contracts.

In addition, they establish policies relating to Government contracting and impose duties on Government officials to implement those policies. Statutes authorizing each Federal department, agency or instrumentality usually provide for purchases of supplies and services necessary to perform their statutory functions. If such legislation prescribes methods of forming purchase contracts, it usually sets forth requirements in addition to the ASPA, FPASA, and OFPPA standards.

Congress, however, requires the Government to solicit offers from sellers and to reserve the power of acceptance to the Government as purchaser. In this manner the Government retains control of the contract formation process. It thus controls the manner, means and conditions under which it will become obligated under contracts. Acceptance or award creating a contract is normally at the discretion of the Government.

**Requirement Source:** FM 100-10-2, Contracting Support on the Battlefield, 15 April 1999

**Special Note:** N/A

### AC 6.1.4 (Operations) Contract Administration

Contract Administration: The COSCOM's Corps Contracting Center plans and provides contingency contracting support for the corps.

The corps' contracting chief plans and manages contingency contracting within the corps' AO in accordance with the PARC's theater contracting support plan. The corps contingency contracting chief consolidates corps contracting functions, and structures corps contracting provided by personnel within the COSCOM and its subordinate units, and divisions under the corps, in accordance with METT-TC. Multiple units throughout a corps -- COSCOM, corps support groups, Force Provider Companies, and select transportation detachments, as well as the division support command (DISCOM) within divisions -- all have organic contingency contracting personnel who operate under the provisions of the theater and corps contracting support plans.

Based on METT-TC considerations, the corps contracting chief may consolidate contracting personnel from units within the corps area, or employ units' contracting personnel as area procurement offices in direct support of their organic units.

**Requirement Source:** FM 100-10-2, Contracting Support on the Battlefield, 15 April 1999

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.1.5 (Operations) Contract Protests

In its effort to enhance the use of competition in Government contracting, Congress has mandated a strengthened GAO protest procedure in the Competition in Contracting Act of 1984 (CICA). CICA specified that only an "interested party" can invoke the procedure and have standing to file or intervene in a protest. An "interested party" is defined at 35 U.S.C. sec 3551 to include any offeror or prospective offeror whose direct economic interest would be affected by the award or by failure to make the award. The Court of Federal Claims uses the same definition for the purpose of determining whether a protester has standing. These procedures were subsequently modified by FASA and the Clinger-Cohen Act. A protest is presently defined as a written objection by an interested party to:

FAR Part 33 specifically provides for the consideration of such a protest, which in some instances may avoid the need for a disappointed offeror to seek relief elsewhere. Executive Order 12979 requires procuring agencies to prescribe inexpensive and expedient procedures for resolving award protests which must include a prohibition of awards or performance on timely protests unless there are urgent or compelling reasons, or the best interest of the U.S. require otherwise. Protestors should be encouraged to use the agency procedures first, and if unsatisfied then seek redress at other forums such as the GAO. A protestor who originally filed a timely agency-level protest and then filed a GAO protest within 10 calendar days of actual or constructive knowledge of the initial adverse agency action

Thus the GAO served as an independent forum to consider protests, but the success rate of disappointed offerors was low. This situation began to change in the 1960's and 1970's, as a result of new legislation which affected the role of the courts in this area. Despite improvements, however, protestors likelihood of success has ranged between approximately 10 -- 15% in recent years. The rate is nearer 40% when considering settlements reached on terms favorable to the protester before a GAO decision.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

### AC 6.1.6 (Operations) Contract Terminations

In Government contracts there are essentially two types of terminations -- terminations for default and cause (commercial procurement) and terminations "for the convenience of the Government" (or simply, "termination for convenience"). The main difference between the two types of terminations is whether the contractor is at fault. In a default or cause termination, the action by the Government is taken because of failure on the part of the contractor to live up to his contractual obligations. A termination for convenience does not result from any fault on the part of the contractor.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.2 (All LifeCycle Phases) Production / Programming Contracts

Contract means a mutually binding legal relationship obligating the seller to furnish the supplies or services (including construction) and the buyer to pay for them. It includes all types of commitments that obligate the Government to an expenditure of appropriated funds and that, except as otherwise authorized, are in writing. In addition to bilateral instruments, contracts include (but are not limited to) awards and notices of awards; job orders or task letters issued under basic ordering agreements; letter contracts; orders, such as purchase orders, under which the contract becomes effective by written acceptance or performance; and bilateral contract modifications. Contracts do not include grants and cooperative agreements covered by 31 U.S.C. 6301, et seq. For discussion of various types of contracts, see Part 16.

FAR Part 1 para 1.102-4 -- Role of the Acquisition Team.

(a) Government members of the Team must be empowered to make acquisition decisions within their areas of responsibility, including selection, negotiation, and administration of contracts consistent with the Guiding Principles. In particular, the contracting officer must have the authority to the maximum extent practicable and consistent with law, to determine the application of rules, regulations, and policies, on a specific contract.

(b) The authority to make decisions and the accountability for the decisions made will be delegated to the lowest level within the System, consistent with law.

(c) The Team must be prepared to perform the functions and duties assigned. The Government is committed to provide training, professional development, and other resources necessary for maintaining and improving the knowledge, skills, and abilities for all Government participants on the Team, both with regard to their particular area of responsibility within the System, and their respective role as a team member. The contractor community is encouraged to do likewise.

(d) The System will foster cooperative relationships between the Government and its contractors consistent with its overriding responsibility to the taxpayers.

(e) The FAR outlines procurement policies and procedures that are used by members of the Acquisition Team. If a policy or procedure, or a particular strategy or practice, is in the best interest of the Government and is not specifically addressed in the FAR, nor prohibited by law (statute or case law), Executive order or other regulation, Government members of the Team should not assume it is prohibited. Rather, absence of direction should be interpreted as permitting the Team to innovate and use sound business judgment that is otherwise consistent with law and within the limits of their authority. Contracting officers should take the lead in encouraging business process innovations and ensuring that business decisions are sound.

**Requirement Source:** Federal Acquisition Reform Act (FARA) of 1996; Federal Acquisition Streamlining Act (FASA); FAR -- Part 1, Federal Acquisition Regulation System, (FAC 97-22), 10 January 2001

**Special Note:** N/A



## Section 6: Contracting Operations

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### AC 6.2.1 (All LifeCycle Phases) Contract Environment

#### 34.005-3 -- Concept Exploration Contracts.

Whenever practicable, contracts to be performed during the concept exploration phase shall be for relatively short periods, at planned dollar levels. These contracts are to refine the proposed concept and to reduce the concept's technical uncertainties. The scope of work for this phase of the program shall be consistent with the Government's planned budget for the phase. Follow-on contracts for such tasks in the exploration phase shall be awarded as long as the concept approach remains promising, the contractor's progress is acceptable, and it is economically practicable to do so.

#### 34.005-4 -- Demonstration Contracts.

Whenever practicable, contracts for the demonstration phase should provide for contractors to submit, by the end of the phase, priced proposals, totally funded by the Government, for full-scale development. The contracting officer should provide contractors with operational test conditions, performance criteria, life cycle cost factors, and any other selection criteria necessary for the contractors to prepare their proposals.

#### 34.005-5 -- Full-Scale Development Contracts.

Whenever practicable, the full-scale development contracts should provide for the contractors to submit priced proposals for production that are based on the latest quantity, schedule, and logistics requirements and other considerations that will be used in making the production decision.

#### 34.005-6 -- Full Production.

Contracts for full production of successfully tested major systems selected from the full-scale development phase may be awarded if the agency head

(a) Reaffirms the mission need and program objectives and

(b) Grants approval to proceed with production.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

### AC 6.2.2 (All LifeCycle Phases) Contract Planning

7.101 -- Acquisition planning means the process by which the efforts of all personnel responsible for an acquisition are coordinated and integrated through a comprehensive plan for fulfilling the agency need in a timely manner and at a reasonable cost. It includes developing the overall strategy for managing the acquisition.

**Requirement Source:** FAR -- Part 1, Federal Acquisition Regulation System, (FAC 97-22), 10 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.2.3 (All LifeCycle Phases) Contract Formation

Government Contract Formation: This describes the methods of forming Government contracts. It also explains the principles of law and policy related to each method. An understanding of the principles described will enable the reader to recognize the actions and standards of conduct required in using each method.

The principal statutes which describe specific methods of forming Government contracts are the Armed Services Procurement Act of 1947, 10 U.S.C.2301 et seq. ("ASPA"); the Federal Property and Administrative Services Act of 1949, 40 U.S.C.471 et seq. ("FPASA"); and the Office of Federal Procurement Policy Act, 41 U.S.C.401 et seq. ("OFPPA"). ASPA applies to DoD, NASA and the Coast Guard. FPASA applies to civilian agencies. OFPPA applies to Executive Branch agencies generally, both military and civilian. These three statutes specifically prescribe methods of forming Government contracts.

In addition, they establish policies relating to Government contracting and impose duties on Government officials to implement those policies. Statutes authorizing each Federal department, agency or instrumentality usually provide for purchases of supplies and services necessary to perform their statutory functions. If such legislation prescribes methods of forming purchase contracts, it usually sets forth requirements in addition to the ASPA, FPASA, and OFPPA standards.

Therefore, statutes and regulations specifically applicable to particular departments or agencies are part of the general statutory scheme as well. ASPA, FPASA and OFPPA establish requirements that alter the usual positions of offeror and offeree in business transactions. In a typical consumer transaction, the customary practice is for sellers to solicit offers from purchasers and reserve powers of acceptance to themselves. Congress, however, requires the Government to solicit offers from sellers and to reserve the power of acceptance to the Government as purchaser. In this manner the Government retains control of the contract formation process. It thus controls the manner, means and conditions under which it will become obligated under contracts. Acceptance or award creating a contract is normally at the discretion of the Government.

**Requirement Source:** 10 USC 2301; 40 USC 471; Federal Procurement Act, 41 USC401

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.2.4 (All LifeCycle Phases) Contract Administration

FAR Part 42, When contracts are assigned for administration to a contract administration office located in an agency different from that of the contracting office (see Part 42), the two agencies shall agree on any necessary distribution in addition to that prescribed in para 4.201

- (a) The head of each office performing contracting, contract administration, or paying functions shall establish files containing the records of all contractual actions.
- (b) The documentation in the files (see 4.803) shall be sufficient to constitute a complete history of the transaction for the purpose of -- (1) Providing a complete background as a basis for informed decisions at each step in the acquisition process; (2) Supporting actions taken; (3) Providing information for reviews and investigations; and (4) Furnishing essential facts in the event of litigation or congressional inquiries.
- (c) The files to be established include -- (1) A file for canceled solicitations; (2) A file for each contract; and (3) A file such as a contractor general file, containing documents relating -- for example -- to -- (i) No specific contract, (ii) More than one contract, or (iii) The contractor in a general way (e.g., contractor's management systems, past performance, or capabilities).

The contract administration office is responsible for initiating (automated or manual) administrative closeout of the contract after receiving evidence of its physical completion. At the outset of this process, the contract administration office must review the contract funds status and notify the contracting office of any excess funds the contract administration office might deobligate.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.2.5 (All LifeCycle Phases) Contract Protests

In its effort to enhance the use of competition in Government contracting, Congress has mandated a strengthened GAO protest procedure in the Competition in Contracting Act of 1984 (CICA). CICA specified that only an "interested party" can invoke the procedure and have standing to file or intervene in a protest. An "interested party" is defined at 35 U.S.C. sec 3551 to include any offeror or prospective offeror whose direct economic interest would be affected by the award or by failure to make the award. The Court of Federal Claims uses the same definition for the purpose of determining whether a protester has standing. These procedures were subsequently modified by FASA and the Clinger-Cohen Act. A protest is presently defined as a written objection by an interested party to:

FAR Part 33 specifically provides for the consideration of such a protest, which in some instances may avoid the need for a disappointed offeror to seek relief elsewhere. Executive Order 12979 requires procuring agencies to prescribe inexpensive and expedient procedures for resolving award protests which must include a prohibition of awards or performance on timely protests unless there are urgent or compelling reasons, or the best interest of the U.S. require otherwise. Protestors should be encouraged to use the agency procedures first, and if unsatisfied then seek redress at other forums such as the GAO. A protestor who originally filed a timely agency-level protest and then filed a GAO protest within 10 calendar days of actual or constructive knowledge of the initial adverse agency action

Thus the GAO served as an independent forum to consider protests, but the success rate of disappointed offerors was low. This situation began to change in the 1960's and 1970's, as a result of new legislation which affected the role of the courts in this area. Despite improvements, however, protestors likelihood of success has ranged between approximately 10 -- 15% in recent years. The rate is nearer 40% when considering settlements reached on terms favorable to the protester before a GAO decision.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

### AC 6.2.6 (All LifeCycle Phases) Contract Terminations

In Government contracts there are essentially two types of terminations -- terminations for default and cause (commercial procurement) and terminations "for the convenience of the Government" (or simply, "termination for convenience"). The main difference between the two types of terminations is whether the contractor is at fault. In a default or cause termination, the action by the Government is taken because of failure on the part of the contractor to live up to his contractual obligations. A termination for convenience does not result from any fault on the part of the contractor.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

### AC 6.3 (BaseOps) Sustainment Base / Installation Operations Contracting

Sustainment Base / Installation Operations Contracting

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.3.1 (BaseOps) Contract Planning

7.101 -- Acquisition planning means the process by which the efforts of all personnel responsible for an acquisition are coordinated and integrated through a comprehensive plan for fulfilling the agency need in a timely manner and at a reasonable cost. It includes developing the overall strategy for managing the acquisition.

**Requirement Source:** FAR -- Part 1, Federal Acquisition Regulation System, (FAC 97-22), 10 January 2001

**Special Note:** N/A

### AC 6.3.2 (BaseOps) Contract Formation

This chapter describes the methods of forming Government contracts. It also explains the principles of law and policy related to each method. An understanding of the principles described will enable the reader to recognize the actions and standards of conduct required in using each method.

The principal statutes which describe specific methods of forming Government contracts are the Armed Services Procurement Act of 1947, 10 U.S.C.2301 et seq. ("ASPA"); the Federal Property and Administrative Services Act of 1949, 40 U.S.C.471 et seq. ("FPASA"); and the Office of Federal Procurement Policy Act, 41 U.S.C.401 et seq. ("OFPPA"). ASPA applies to DoD, NASA and the Coast Guard. FPASA applies to civilian agencies. OFPPA applies to Executive Branch agencies generally, both military and civilian. These three statutes specifically prescribe methods of forming Government contracts.

In addition, they establish policies relating to Government contracting and impose duties on Government officials to implement those policies. Statutes authorizing each Federal department, agency or instrumentality usually provide for purchases of supplies and services necessary to perform their statutory functions. If such legislation prescribes methods of forming purchase contracts, it usually sets forth requirements in addition to the ASPA, FPASA, and OFPPA standards.

Congress, however, requires the Government to solicit offers from sellers and to reserve the power of acceptance to the Government as purchaser. In this manner the Government retains control of the contract formation process. It thus controls the manner, means and conditions under which it will become obligated under contracts. Acceptance or award creating a contract is normally at the discretion of the Government.

**Requirement Source:** 10 USC 2301; 40 USC 471; Federal Procurement Act, 41 USC401

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.3.3 (BaseOps) Contract Administration

FAR Part 42, When contracts are assigned for administration to a contract administration office located in an agency different from that of the contracting office (see Part 42), the two agencies shall agree on any necessary distribution in addition to that prescribed in para 4.201

- (a) The head of each office performing contracting, contract administration, or paying functions shall establish files containing the records of all contractual actions.
- (b) The documentation in the files (see 4.803) shall be sufficient to constitute a complete history of the transaction for the purpose of -- (1) Providing a complete background as a basis for informed decisions at each step in the acquisition process; (2) Supporting actions taken; (3) Providing information for reviews and investigations; and (4) Furnishing essential facts in the event of litigation or congressional inquiries.
- (c) The files to be established include -- (1) A file for canceled solicitations; (2) A file for each contract; and (3) A file such as a contractor general file, containing documents relating -- for example -- to -- (i) No specific contract, (ii) More than one contract, or (iii) The contractor in a general way (e.g., contractor's management systems, past performance, or capabilities).

The contract administration office is responsible for initiating (automated or manual) administrative closeout of the contract after receiving evidence of its physical completion. At the outset of this process, the contract administration office must review the contract funds status and notify the contracting office of any excess funds the contract administration office might deobligate.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

## Section 6: Contracting Operations

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### AC 6.3.4 (BaseOps) Contract Protests

In its effort to enhance the use of competition in Government contracting, Congress has mandated a strengthened GAO protest procedure in the Competition in Contracting Act of 1984 (CICA). CICA specified that only an "interested party" can invoke the procedure and have standing to file or intervene in a protest. An "interested party" is defined at 35 U.S.C. sec 3551 to include any offeror or prospective offeror whose direct economic interest would be affected by the award or by failure to make the award. The Court of Federal Claims uses the same definition for the purpose of determining whether a protester has standing. These procedures were subsequently modified by FASA and the Clinger-Cohen Act. A protest is presently defined as a written objection by an interested party to:

FAR Part 33 specifically provides for the consideration of such a protest, which in some instances may avoid the need for a disappointed offeror to seek relief elsewhere. Executive Order 12979 requires procuring agencies to prescribe inexpensive and expedient procedures for resolving award protests which must include a prohibition of awards or performance on timely protests unless there are urgent or compelling reasons, or the best interest of the U.S. require otherwise. Protestors should be encouraged to use the agency procedures first, and if unsatisfied then seek redress at other forums such as the GAO. A protestor who originally filed a timely agency-level protest and then filed a GAO protest within 10 calendar days of actual or constructive knowledge of the initial adverse agency action

Thus the GAO served as an independent forum to consider protests, but the success rate of disappointed offerors was low. This situation began to change in the 1960's and 1970's, as a result of new legislation which affected the role of the courts in this area. Despite improvements, however, protestors likelihood of success has ranged between approximately 10 -- 15% in recent years. The rate is nearer 40% when considering settlements reached on terms favorable to the protester before a GAO decision.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

### AC 6.3.5 (BaseOps) Contract Terminations

In Government contracts there are essentially two types of terminations -- terminations for default and cause (commercial procurement) and terminations "for the convenience of the Government" (or simply, "termination for convenience"). The main difference between the two types of terminations is whether the contractor is at fault. In a default or cause termination, the action by the Government is taken because of failure on the part of the contractor to live up to his contractual obligations. A termination for convenience does not result from any fault on the part of the contractor.

**Requirement Source:** FAR, Federal Acquisition Regulation System, 10 January 2001

**Special Note:** N/A

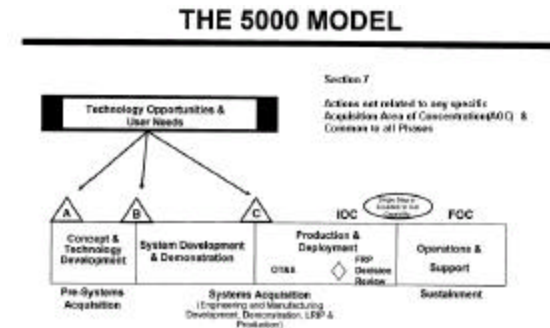
## Section 7: The 5000 Model Common Elements

### AC 7 (All LifeCycle Phases)

This section is used for actions not related to any specific Acquisition Area of Concentration (AOC) and Common to all Phases

**Requirement Source:** As noted:

**Special Note:** N/A



### AC 7.1 (All LifeCycle Phases) Planning, Programming and Budgeting System (PPBS): Funds Management

Planning, Programming and Budgeting System (PPBS): The PPBS is a time-driven resource allocation process within DoD to request funding for all operations, including weapon system development and acquisition. It is essential to convert each program's event-driven acquisition strategy and phasing into the PPBS's calendar-driven funding profiles to assure the appropriate amount and type of funds are available to execute the desired program.

3-10. Apportionment by OMB. Control of the funds made available by the Congress starts with the OMB and extends to the office which ultimately makes a payment from these funds.

Even after an appropriation act has been passed by Congress and signed by the President, funds are not available to a Government agency, such as DoD, until funds are released in an "apportionment" from OMB. This is OMB's executive-level budgetary control made on a periodic basis. By statute, OMB apportions funds on the basis of time periods, projects, or both. See 31 U.S.C.1512. Even after an apportionment is made by OMB to DoD, no obligation may be incurred by a Military Department until the Secretary of Defense has first approved the Department's scheduled rate of obligations.

3-11. Allocation and Allotment. After the scheduled rate of obligation has been approved, the DoD comptroller then divides the apportioned amount into allocations to make the funds available to the Military Departments, which in turn make the funds available by allotment to their subdivisions such as the Navy Commands, Army Commands, and Air Force Commands. Depending on how much control is to be exercised, the Departmental subdivisions may make allocations directly available for obligation and spending, or there may be further subdivision into suballocations and suballotments.

**Anti-Deficiency Act.** The basic prohibition of the Anti-Deficiency Act provides that no Government officer or employee shall authorize or create any obligation, or make any expenditure, in excess of an apportionment or an administrative subdivision of appropriated funds. Additionally, the Act prohibits government employees from accepting voluntary services with some exceptions (31 U.S.C.1342) and prohibits appropriated fund expenditures for passenger vehicles not used on official business (31 U.S.C.1344).

**Requirement Source:** How The Army Runs, 1999-2000 FAR, Federal Acquisition Regulation System, 10 January 2001; 31 USC 1512; 31 U.S.C.1344

**Special Note:** N/A



## Section 7: The 5000 Model Common Elements

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### AC 7.2 (All LifeCycle Phases) Interoperability/ Standardized Data

Interoperability is the ability of systems, units, or forces to provide data, information, materiel, and services to and accept the same from other systems, units, or forces, and to use the data, information, materiel, and services so exchanged to enable them to operate effectively together.

Interoperability within and among United States forces and U.S. coalition partners is a key goal that must be addressed satisfactorily for all Defense systems so that the Department of Defense has the ability to conduct joint and combined operations successfully.

The use of standardized data shall be considered to facilitate interoperability and information sharing. To the extent possible, systems and software shall be designed, consistent with U.S. export control laws and regulations, to permit use in a multi-national environment with provision made for current and future information disclosure guidance and constraints. The Department of Defense must have a framework for assessing the interrelationships among and interactions between U.S., Allied, and coalition systems.

Mission area focused, integrated architectures shall be used to characterize these interrelationships. This end-to-end approach focuses on mission outcomes and provides further understanding of the full range of interoperability issues attendant to decisions regarding a single program or system. In order to foster interoperability with our Allies and coalition partners, consideration shall be given to procurement or modification of Allied systems or equipment, or cooperative development opportunities with one or more Allied nations to meet user needs.

DoDD 4630.5, In accordance with DoD Directive 5000.1 and DOD Instruction 5000.2 (references (b) and (c)), to develop, acquire, and deploy C3I systems and equipment that meet essential operational needs of U.S. Forces, that are compatible with existing and planned C3I systems and other electronic equipment, and that are interoperable with other U.S. and allied nations, functionally related C3I information systems and equipment. See 10 U.S.C. 2457 (reference (d)), which establishes a policy of Standardization and interoperability within the North Atlantic Treaty Organization.

DoDD 4630.8, Communication Security (COMSEC) Considerations. The implications of COMSEC sharing, especially in cases of combined interoperability, must be carefully considered. The scope of such interoperability shall be highly dependent on the willingness of participating nations to share COMSEC algorithms and crypto codes. COMSEC shall be considered as a major factor in determining the operational practicality of C3I interoperability among nations. Additionally, DoD Directive C 5200.5 (reference(i)) must be met.

DoDD 4630.8, Adherence to U.S. Federal and DoD standards, U.S. ratified NATO STANAGs, and other international STANAGs accepted for U.S. use (DoD Directives 2010.6, 2010.7, and 3100.3 (references (J),(k), and (l))) is required.

See DoD 8320.1-M-1 Data Standardization Procedures, April 1998

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001; DoDD 4630.5, Compatibility, Interoperability, and Integration of Command, Control, Communications, and intelligence (C3I) Systems

**Special Note:** N/A

## Section 7: The 5000 Model Common Elements

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### AC 7.3 (All LifeCycle Phases) Integrated Test and Evaluation

4.3.2. Integrated Test and Evaluation. Test and evaluation is the principal tool with which progress in system development is measured.

The complexity of modern weapon systems demands that test and evaluation programs be integrated throughout the defense acquisition process. Test and evaluation shall be structured to support the defense acquisition process and the user by providing essential information to decision-makers, assessing attainment of technical performance parameters, and determining whether systems are operationally effective, suitable, and survivable for intended use.

Test and evaluation is conducted to facilitate learning, assess technical maturity and interoperability, facilitate integration into fielded forces, and confirm performance. Test and evaluation shall be closely integrated with requirements definition, threat projections, systems design, and development, and shall support the user through assessments of a system's contributions to mission capabilities. Test and evaluation planning shall begin early in the acquisition process.

To the greatest extent possible, the DoD Components shall gather test data to identify the total cost of ownership, and at a minimum, the major drivers of life-cycle costs. Each Military Department shall establish an independent operational test and evaluation agency, reporting directly to the Service Chief, to plan and conduct operational tests, report results, and provide evaluations of effectiveness and suitability.

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

### AC 7.4 (All LifeCycle Phases) Management

Tailoring; Cost and Affordability; Program Stability; Simulation-Based Acquisition; Innovation, Continuous Improvement, and Lessons Learned; Streamlined Organizations and a Professional Workforce

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

#### AC 7.4.1 (All LifeCycle Phases) Management [Tailoring]

Tailoring. There is no one best way to structure an acquisition program so that it accomplishes the objectives of the Defense Acquisition System. Decision-makers and program managers shall tailor acquisition strategies to fit the particular conditions of an individual program, consistent with common sense, sound business management practice, applicable laws and regulations, and the time-sensitive nature of the user's requirement. Proposed programs may enter the acquisition process at various decision points, depending on concept and technology maturity. Tailoring shall be applied to various aspects of the acquisition system, including program documentation, acquisition phases, the timing and scope of decision reviews, and decision levels. Milestone decision authorities shall promote flexible, tailored approaches to oversight and review based on mutual trust and a program's dollar value, risk, and complexity.

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

## Section 7: The 5000 Model Common Elements

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### AC 7.4.2 (All LifeCycle Phases) Management [Cost and Affordability]

Cost and Affordability. Fiscal constraint is a reality that all participants in the acquisition system must recognize. Cost must be viewed as an independent variable, and the DoD Components shall plan programs based on realistic projections of funding likely to be available in future years. To the greatest extent possible, the DoD Components shall identify the total costs of ownership, and at a minimum, the major drivers of total ownership costs. Consistent with the Chairman of the Joint Chiefs of Staff guidance on requirements generation, the user shall treat cost as a military requirement and state the amount the Department should be willing to invest to obtain, operate, and support the needed capability over its expected life cycle. Acquisition managers shall establish aggressive but realistic objectives for all programs and follow through by working with the user to trade off performance and schedule, beginning early in the program (when the majority of costs are determined).

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

### AC 7.4.3 (All LifeCycle Phases) Management [ Program Stability]

Program Stability. To maximize program stability, the DoD Components shall develop realistic program schedules, long-range investment plans, and affordability assessments, and shall strive to ensure stable program funding. The milestone decision authority shall determine the appropriate point at which to fully fund an acquisition program. This point shall be no later than entry into the systems demonstration and development phase, but may be earlier if warranted by the acquisition strategy and the timing of the decision relative to the programming and budgeting process. In general, full funding shall be required when there is a mature system concept and architecture (based on proven technologies). Full funding shall be based on the cost of the most likely system alternative. The acquisition community shall actively participate in the various phases of the Planning, Programming, and Budgeting System to ensure that acquisition management issues and full funding are properly addressed

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

### AC 7.4.4 (All LifeCycle Phases) Management [Simulation-Based Acquisition]

Simulation-Based Acquisition. Program managers shall plan and budget for effective use of modeling and simulation to reduce the time, resources, and risk associated with the entire acquisition process; increase the quality, military worth and supportability of fielded systems; and reduce total ownership costs throughout the system life cycle.

See DoD 5000.59-P Modeling and Simulation (M&S) Master Plan

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

## Section 7: The 5000 Model Common Elements

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### **AC 7.4.5 (All LifeCycle Phases) Management [Innovation, Continuous Improvement, and Lessons Learned]**

Innovation, Continuous Improvement, and Lessons Learned. The Department shall continuously focus on developing and implementing major initiatives necessary to streamline and improve the Defense Acquisition System.

Through a commitment to reengineering, the Department shall increase its ability to fund warfighting requirements and continued research and development.

Decision-makers at all levels shall encourage the continuous examination and adoption of innovative practices including best commercial practices and electronic business solutions that reduce cycle time and cost, and encourage teamwork, and shall provide meaningful incentives for innovation, such as reinvestment of cost savings and career recognition and advancement.

In addition, decision-makers at all levels shall encourage and facilitate the documentation and institutionalization of lessons learned both good and bad - from past experience. Proper incentives must be in place to encourage a culture friendly to the documentation of valuable lessons learned and the sharing of knowledge. The objective is a learning culture that embraces change and continuously adapts to new challenges.

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

### **AC 7.4.6 (All LifeCycle Phases) Management [Streamlined Organizations and a Professional Workforce]**

Streamlined Organizations and a Professional Workforce. The Department shall use a streamlined management structure in the acquisition system characterized by short, clearly defined lines of responsibility, authority, and accountability.

In general, the chain of command shall include the program manager, program executive officer, the Component Acquisition Executive (CAE), reporting through the Head of the Component, and the Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) or the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence (ASD(C3I)). In all cases, no more than two levels of review shall exist between a program manager and the Milestone Decision Authority. The Department of Defense shall maintain a fully proficient acquisition, technology, and logistics workforce that is flexible and highly skilled across a range of management, technical, and business disciplines.

To ensure this, the USD(AT&L) shall establish education, training, and experience standards for each acquisition position based on the level of complexity of duties carried out in that position. In addition, the USD(AT&L) shall encourage the use of cross-training programs to ensure that all disciplines and communities within USD(AT&L) have a full understanding of the overall system. Defense acquisition works best when all of the DoD Components work together as a team focused on the customer.

**Requirement Source:** DoDD 5000.1, The Defense Acquisition System, Oct 23, 2000, with Change 1, Jan 4 2001.

**Special Note:** N/A

# Army Acquisition Task Listing Terms and Definitions

*Note: Taken largely in part from the [Army Force Management School](#)*

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## **Acquisition Phase**

Phases provide a logical means of progressively translating broadly stated mission needs into well defined system-specific requirements and ultimately into operationally effective, suitable, and survivable systems. All the tasks and activities needed to bring the program to the next MS occur during acquisition phases.

## **Acquisition Program**

A directed, funded effort designed to provide a new, improved or continuing weapons system or AIS capability in response to a validated operational need. Acquisition programs are divided into different categories which are established to facilitate decentralized decision-making, and execution and compliance with statutory requirements.

## **Acquisition Strategy (AS)**

The AS documents the appropriate planning process and provides a comprehensive approach for achieving goals established in materiel requirements. It serves as a principal long-range document, charting the course of a major acquisition program over its life-cycle.

## **Additive operational project**

An operational project which consists of equipment requirements in addition to the initial issue requirements contained in MTOE, TDA, and CTA documents.

This type of operational project automatically increases the authorized acquisition objective by quantities specified in the operational project.

### **Army acquisition executive (AAE)**

Senior acquisition executive responsible for administering acquisition programs in accordance with established policies and guidelines. The Army acquisition executive (AAE) is also the senior procurement executive.

### **Army Systems Acquisition Review Council (ASARC)**

Top level DA review body for ACAT I and ACAT II programs. Convened at formal milestone reviews or other program reviews to provide information and develop recommendations for decision by the AAE.

### **Associated support items of equipment and personnel (ASIOEP)**

Equipment and personnel essential to operate, maintain, or transport the principal and associated support items of equipment (ASIOE) item(s). ASIOEP are initially identified by the materiel developer for directly related equipment and personnel and by the combat developers, personnel proponents and training developers for organizational related equipment and personnel. TRADOC will provide feedback to the materiel developer. ASIOEP are included in the BOIP of the item that drives the requirement(s). ASIOEP requirements are subject to change based on the BOIP impact as they are sequenced in incremental change packages.

### **Authorized level of organization (ALO)**

The alpha or numeric code that establishes the authorized strength and equipment level for an MTOE unit. Authorization levels are set according to TOE levels or, when no corresponding TOE level exists, at a percentage of the TOE level 1 as shown in MTOE required strength or at the type B or cadre structure of the base TOE.

### **Authorization documents**

HQDA or proponent approved documents that reflect personnel and equipment requirements for one or more units. Authorization documents include MTOE, TDA, CTA, JTA, ADOP, and TDA augmentation to MTOE.

### **Automated Information System (AIS)**

A combination of computer hardware and software, data, or telecommunications, that performs functions such as collecting, processing, transmitting, and displaying information. Excluded are computer resources, both hardware and software, that are: physically part of, dedicated to, or essential in real time to the mission performance of weapon systems.

### **Automated unit reference sheet (AURS)**

Developed to support systems basis-of-issue-plans (BOIPs), to project total Army analysis (TAA) force structure requirements and to support tests and evaluations. The AURS is assigned a nine-digit number using the TOE numbering system. An AURS is essentially a draft TOE package prepared early in the process in accordance with TOE development policies. The principal difference between an AURS and a TOE package is the AURS contains less supporting documentation. Composition of the AURS normally includes reference to the approved concept, section I (Organization), section II (Personnel and Equipment). An executive summary accompanies the AURS and addresses the purpose of the AURS; the mission, capabilities, assignment, personnel and equipment highlights; and any unique requirements of the unit.

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### **Base table of organization and equipment (BTOE)**

An organization design based on doctrine and equipment currently available. It is the lowest common denominator of modernization and identifies the mission essential wartime requirements for personnel and equipment based upon equipment common to all units of a given type organization.

### **Basis of issue (BOI)**

The number of items authorized for issue to an individual, a unit, or an activity. The basis of issue (BOI) is stated in authorization documents.

### **Basis-of-issue plan (BOIP)**

A planning document that lists 100 percent wartime requirements for TOE (level 1), TDA, CTA, JTA, ADOP, and TDA augmentation to mobilization TOE (MTOE) (when directed by HQDA), in which a new or improved item will be required; the number of items to be included in each organization element; and other equipment and personnel changes needed to operate, maintain, or transport the item. The BOIP is not an authorization document, nor is it a distribution schedule. It is a requirements document.

### **Basis-of-issue narrative guidance (BOING)**

BOI expressed in narrative terms, for example, for publication on the FMBB.

### **Basis-of-issue plan item**

An end item of equipment for which procurement was initiated in response to a formal requirement to satisfy a mission element need.

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### **Chief Information Officer (CIO) Validation**

A representative of the DISC4 (the Army CIO) participates in the requirements determination process as a member of the ICT, and later the IPT, and validates requirements against business process reengineering, compliance with the Army Technical Architecture (ATA), and ensures they are in compliance with emerging C4I technologies.

### **Combat developer (CBTDEV)**

Command or agency that formulates and documents operational concepts, doctrine, organizations, and/or materiel requirements (MNS and ORDs) for



assigned mission areas and functions. Serves as the user representative during acquisitions for their approved materiel requirements as well as doctrine and organization developments.

### **Combat development**

The process of analyzing, determining, and prioritizing Army requirements for, doctrine, training, leader development, organizations, soldier development, and equipment and executing or (in the case of doctrine, training and materiel, initiating) solutions, within the context of the force development process.

### **Command Manager**

A manager of resourcing, documentation, fielding, and sustainment to assure doctrinal, operational, and technical integration of functionally dissimilar organizations. Responsible for TDA and MTOE force integration for a specific MACOM.

### **Common table of allowances (CTA) item**

An item of materiel that can be authorized by a common or specific usage criteria and that does not require documentation in TAADS-R and a centralized computation of requirements by the Structure and Composition System (SACS).

### **Component major item**

A major end item is a part of the BOIP item configuration. Major end items used as a component will not be listed separately in authorization documents. component major items are normally government furnished equipment; installed or removed at depot level when the system is being built due to wiring, mounting, and system interface; the primary item in the assembly or set configuration and removal will destroy the identity and integrity of the assemblage or set; Army communication-electronic equipment in aircraft and watercraft; or component removal has been exempted by USAFISA.

### **Consolidated table of organization and equipment update (CTU)**

The updating process for the TOE data base, currently accomplished annually (in April). The CTU consists of three files. The first file is the TOE file updated with all approved TOE changes and required administrative changes. The second file is an update of all unresourced substantive changes. The third file is an update of all HQDA approved BOIP.

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### **Developmental line item number (ZLIN)**

A temporary number assigned by AMC catalog data activity for planning purposes to a developmental or nondevelopmental item before TC and replacement with a standard line item number (AR 708-1 and AR 70-1).

### **Document integrator (DI)**

Personnel who assist organization integrators, force integrators, and systems integrators by ensuring that requirements and authorization documents comply with approved Army force programs as reflected in the Structure and Manpower Allocation System (SAMAS) and leadership guidance.

### **Draft table of organization and equipment**

A TOE that is not HQDA approved. The term is applied from the time of inception at the TOE proponent level until the TOE is approved by HQDA and published as a PP code 2 (HQDA approved) document in CTU files.

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### **Effective date (EDATE)**

The date on which an authorization document is applied to one or more units, or when a specific action takes effect.

### **Exception from MTOE standardization**

A HQDA approved MTOE unit that deviates in any way from the elements in a

base TOE must have HQDA approval for the exception. The approval only excepts the unit for that specific approved element and in no way exempts the unit from compliance with all other regulations and requirements.

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### **Field operating activity**

An organization which has the primary mission of executing policy and would still be required in the absence of the headquarters to which it reports (An activity is subordinate to MACOM level.).

### **Field operating agency (FOA)**

An agency under the supervision of Headquarters, Department of the Army, but not a major Army command or part of a major Army command, which has the primary mission of executing policy.

### **First unit equipped date**

The scheduled date a system end item and its agreed upon support elements are issued to the designated initial operational capability unit and training specified in the new equipment training plan has been accomplished. Support elements will be identified as requirements in the BOIP and will be issued with system or end item specified in the materiel fielding plan or other gaining command developer agreement documents.

### **Force integrator (FI)**

A manager of resourcing, documentation, fielding, and sustainment to assure doctrinal, operational, and technical integration of functionally dissimilar organizations. Responsible for the horizontal integration of large units such as brigades, regiments, groups, divisions and corps (Also see command manager).

### **Force development**

The process of determining Army doctrinal, leader development, training, organizational, soldier development, and materiel requirements and translating

them into programs and structure, within allocated resources, to accomplish Army missions and functions.

### **Force structuring**

The analysis, determination, planning, resourcing, and execution of the numbers, size, and composition of units and organizations within the Army force. The process develops a synchronized, affordable, supportable, and executable mix of organizational capabilities which supports the Defense and Army planning and joint operational and contingency plans.

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### **General purpose vehicles**

Vehicles normally of commercial design and use to provide transportation service; that is, transportation of personnel and cargo. This includes any motor vehicle designed for transportation service, even though modified locally, as an expedient for meeting special needs.

### **General support forces (GSF)**

Generally, tables of distribution and allowances and nondeployable modification table of organization and equipment units. Specifically, supporting forces, special activities, training forces and school troops as listed by troop program sequence numbers in AR 18-19.

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### **Identifier**

A generic term used in discussing military occupational classification and structure codes that encompass officer branch, functional area, area of concentration (AOC) and skill identifiers; warrant officer branch, AOC, military occupational specialty (MOS), special qualification identifier (SQI), and additional skill identifier (ASI); and enlisted MOS, SQI, and ASI.

### **Incremental change package (ICP)**

Doctrinally sound grouping of personnel and equipment change documents (doctrine, BOIP, MARC, and so forth) which are applied to a base or intermediate TOE to form a new intermediate TOE or objective TOE.

### **Incremental table of organization and equipment**

A system that prescribes the organizational design, including personnel and equipment requirements, of a type of unit displayed in discrete evolutionary increments of capability. The incremental TOE system resides in automated files. It begins with a doctrinally sound base TOE and progresses through a series of doctrinally sound intermediate TOE leading to a fully modernized objective design.

### **Intermediate table of organization and equipment (ITOE)**

A transition TOE that results from applying one or more ICPs in a predetermined sequence to a TOE to produce an enhanced capability. These documents form the bridge between the base and objective TOE and provide the primary tool for programming, executing, standardizing, and documenting the force structure during phased modernization.

### **Industrial plant equipment (IPE)**

IPE is that part of plant equipment with an acquisition cost as established by AR 700-43 (see Defense Acquisition Circular 76-36 for policy applicable to contractors); used for the purpose of cutting, abrading, grinding, shaping, forming, joining, testing, measuring, heating, treating, or otherwise altering the physical, electrical, or chemical properties of materials, components, or end items entailed in manufacturing, maintenance, supply, processing, assembly or research and development operations and IPE is identified by Federal Supply Class in Appendix 1A and by descriptive name in Joint DoD Handbooks, DLAH 4215 series as listed in Appendix 1B, AR 700-43.

### **Integrated concept team (ICT)**

An integrated team made up of people from multiple disciplines formed for the purposes of developing operational concepts, developing materiel requirements documents, developing other DTLOMS requirements documents, when desired, and resolving other requirements determination issues.

### **Initial operational capability (IOC)**

The IOC is the first attainment of the capability by an MTOE unit and supporting elements to operate and maintain effectively a production item or system provided -

- a. The item or system has been type classified as standard or approved for limited production.
- b. The unit and support personnel have been trained to operate and maintain the item or system in an operational environment.
- c. The unit can be supported in an operational environment in such areas as special tools, test equipment, repair parts, documentation, and training devices.

### **Integrated Product and Process Development (IPPD)**

A management technique that simultaneously integrates all essential activities through the use of multidisciplinary teams to optimize the design, manufacturing and supportability processes. IPPD facilitates meeting cost and performance objectives from product concept through production, including field support. One of the key IPPD tenets is multidisciplinary teamwork through integrated product teams (IPTs).

### **Integrated product team (IPT)**

A working level team of representatives from all appropriate functional disciplines working together to build successful and balanced programs, identify and resolve issues, provide recommendations to facilitate sound and timely decisions. IPTs may include members from both Government and industry, including program contractors and sub-contractors. Mandatory procedures for IPTs in the oversight and review process are described in DoD Regulation 5000.2R.

### **Interoperability**

The ability of systems, units, or forces to provide services to, and accept services

from, other systems, units, or forces and to use these services to enable them to operate effectively together.

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#### **Joint table of allowances (JTA)**

An authorization document of equipment for activities operated jointly by two or more military services, such as missions and security assistance organizations (SAO). Data on Army equipment are extracted, converted to TDA format, and processed to the TAADS-R data bank.

#### **Joint table of distribution (JTD)**

A document that authorizes personnel for activities operated jointly by two or more military services.

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#### **Line item number (LIN)**

A six-character alphanumeric identification of a generic nomenclature and the line on which the generic nomenclature is listed in SB 700-20, the Army Master Data File and Army authorization documents.

#### **Logistic control code (LCC)**

A one-position alphabetic code assigned to Army-adopted items and other items selected for authorization. The code is used to provide a basis for logistical support decisions; in other words, procurement, overhaul, repair parts provisioning, requisitioning, and distribution.

#### **Logistician**

A command or agency responsible for the independent logistic surveillance and evaluation of materiel acquisition programs. The logistician is appointed by ODCSLOG.

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#### **Major automated information system acquisition program (MAISAP)**

An AIS acquisition program that is (1) designated by the ASD(C3I) as a MAISAP, or (2) estimated to require program costs in any single year in excess of \$30 million in FY 1996 constant dollars, total program costs in excess of \$120 million in FY 1996 constant dollars, or total life-cycle costs in excess of \$360 million in FY 1996 constant dollars.

### **Major defense acquisition program (MDAP)**

An acquisition program that is not a highly sensitive classified program (as determined by the Secretary of Defense) and that is: (1) designated by the USD(A&T) as an MDAP, or (2) estimated by the USD(A&T) to require an eventual total expenditure for research, development, test and evaluation of more than \$355 million in fiscal year (FY) 1996 constant dollars or, for procurement, of more than \$2.1 billion dollars in FY 1996 constant dollars.

### **Major item**

A final combination of component parts or materials that is ready for its intended use. It is important enough to be subject to continuing, centralized, individual item authorization and management throughout all command support echelons.

### **Major System**

A combination of elements that shall function together to produce the capabilities required to fulfill a mission need, to include hardware, equipment, software, or any combination thereof, but excluding construction or other improvements to real property. A system shall be considered a major system if it is estimated by the USD(A&T) to require an eventual total expenditure for RDT&E of more than \$140 million in FY 1996 constant dollars, or for procurement of more than \$645 million in FY 1996 constant dollars.

### **Management of change (MOC) window**

The period of time from the official publication of the latest Army Master Force (MFORCE) to the next publication of the MFORCE. During this period, authorization documents (MTOEs and TDAs) are created and updated in response to DoD and Army leadership decisions on organizational structure, requirements, and authorizations for personnel and equipment. The Army is transitioning to a system wherein MTOE documentation will occur annually rather than semiannually to better synchronize MTOE production with personnel assignments, training base requirements, and the budget process. TDA production will remain a semiannual process, with an annual process to be determined. Major events occurring during the MOC window are MACOM



command plans (CPLANS), building of MTOEs and TDAs, the programming of all future force structure decisions, and verification of the programming using the Automatic Update Transaction System (AUTS).

### **Manpower and Personnel Integration (MANPRINT)**

The comprehensive technical effort to identify and integrate all relevant information and considerations regarding the full range of manpower, personnel capabilities, training development and delivery, human factors engineering, system safety, health hazards, and soldier survivability into the system development and acquisition process to improve soldier performance, total systems performance, and reduce the cost of ownership to an acceptable level throughout the entire life cycle of a system. MANPRINT is the Army's Human Systems Integration process for systems acquisition.

### **Manpower estimate report (MER)**

A report of operator, maintainer, training, and support for military (active and reserve component), civilian, and contractor requirements by fiscal year from the first unit equipped through the last deployment. This report, required for major defense acquisition programs, is sent to Congress for a milestone decision review II and milestone III defense acquisition board decision. ODCSOPS has responsibility for submission through the Secretariat, Office of the Secretary of Defense to Congress. Materiel, combat, personnel proponents, and training developers are responsible for submission of the data for development of the MER.

### **Manpower billpayer plan (MBP)**

The MBP is a supporting document to the MER and identifies the audit trail of personnel requirements and trade-offs required to support new or improved system fielding. The MBP is developed with the MER and is supported by information from the materiel, combat, and training developers; ODCSOPS has responsibility for development and submission of the MBP with the MER. The MBP, however, is not provided to Congress.

### **Manpower requirements criteria (MARC)**

HQDA approved standards for determining minimum essential wartime position requirements for personnel in TOE/MTOE. MARC are used to establish the following:

- a. Standard positions. Not directly related to measurable workload. These are controlled per tactical, logistical, and organizational doctrine; they include commissioned, warrant, and noncommissioned officer positions and enlisted positions required by type rather than amount of services performed.
- b. Variable positions. Required for essential functions performed in support of specified workloads measured in personnel strength, equipment density, supply quantities, transport mileage, and related data processed.

### **Materiel developer (MATDEV)**

The RDA command, agency, or office assigned responsibility for the system under development or being acquired. The term may be used generically to refer to the RDA community in the materiel acquisition process (counterpart to the generic use of CBTDEV).

### **Materiel development**

The conception, development, and execution of solutions to materiel requirements identified and initiated through the combat developments process, translating equipment requirements into executable programs within acceptable performance, schedule, and cost parameters.

### **Milestone (MS)**

A milestone is the major decision point that initiates the next phase of an acquisition program. MDAP milestones may include, for example, the decisions to begin engineering and manufacturing development, or to begin either low-rate initial or full-rate production. MAISAP milestones may include, for example, the decision to begin program definition and risk reduction.

### **Milestone decision authority (MDA)**

The individual designated in accordance with criteria established by the USD(A&T), or the ASD(C3I) for AIS acquisition programs, to approve entry of an acquisition program into the next phase.

### **Mission assignee agency**

An agency responsible for materiel management of items within specific Federal supply classifications (FSCs) or as a selected item basis. The term also includes subordinate commands to which in-process review or type-classification approval authority has been delegated.

### **Mobilization table of distribution and allowances (MOBTDA)**

An authorization document that shows the planned mobilization mission, organizational structure and personnel and equipment requirements for units authorized under the Nondeployment Mobilization Troop Basis.

### **Modernization equipment**

For TOE purposes, modernization equipment is that equipment (by LIN) currently in an approved BOIP, that is, designated to be excluded from BTOE unless specifically approved, on an individual TOE basis, by HQDA.

### **Modification table of organization and equipment (MTOE)**

An authorization document that prescribes the modification of a basic TOE necessary to adapt it to the needs of a specific unit or type of unit.

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### **National stock number (NSN)**

A 13-position number assigned to each item of supply purchased, stocked, or distributed within the Federal Government.

### **Nondevelopmental items (NDI)**

Those items available for procurement to satisfy an approved materiel requirement from existing sources (such as commercial items and items developed by other government agencies, U.S. military service, or countries) requiring little or no additional development.

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### **Objective table of organization and equipment (OTOE)**

A fully modernized, doctrinally sound organizational design that sets the goal for planning and programming of the Army's force structure and supporting acquisition systems primarily in the last year of the program objective memorandum and the extended planning annex.

### **Operational architecture(OA)**

OA contains text, graphic models to show functions and information required, graphic representations of how the Army organizes and equips to execute C4 processes, and a database to provide detailed characteristics about information exchanges, such as format voice / data / imagery), speed of service, perishability, and criticality. The OA will show relationships among organizations and functions in terms of the information they need, use, and exchange.

### **Operational facility (OPFAC) requirements rules**

The standards for documenting command, control, communications, and computer (C4) equipment in BOIPs and TOEs.

### **Organizational integrator (OI)**

Head of an organization integration team which manages the resourcing, documentation, fielding, and sustainment of functionally similar organizations as integrated packages, assuring doctrinally aligned capabilities within resource constraints.

### **Overarching integrated product team (OIPT)**

The OIPT is a team led by the appropriate OSD technical director, and composed of the PM, PEO, component staff, and USD(A&T) staff, the joint staff, and other OSD staff principals, or their representatives, involved in the oversight and review of a particular MDAP for which the USD(A&T) is MDA. The OIPT provides strategic guidance, for the early resolution of issues as well as oversight and review as the program proceeds through its acquisition life-cycle.

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### **Parent unit**

- a. A parent unit is an MTOE numbered unit of battalion or equivalent level, or a numbered company, battery, troop, platoon, detachment or team, that is not an organic element of a battalion. The 5th and 6th positions of a UIC that end in "AA" identify an organization as a parent unit. As an exception to the above, certain split units are treated as parent units for documentation in TAADS-R.
- b. TDA units organized under a unique TDA number assigned by HQDA.

### **Personnel proponent**

An organization assigned primary responsibility for providing recommendations

relating to personnel management matters to Deputy Chief of Staff for Personnel (DCSPER). Included are career field development and changes to personnel management policies in specific occupational career fields.

**Preplanned product improvements (P3I)**

Planned future evolutionary improvement of development systems for which design considerations are effected during development to enhance future applications of projected technology. It includes improvements planned for ongoing systems that go beyond the current performance envelope to achieve a needed operational capability.

**Program executive officer (PEO)**

Individual responsible for administering a defined number of major and/or non-materiel acquisition programs and who reports and receives directions from the Army acquisition executive (AAE).

**Program, project, product manager (PM)**

Is a HQDA board-selected manager for a system or program. A PM may be subordinate to either the AAE, PEO, or a materiel command commander. Refers to the management level of intensity the Army assigns to a particular weapon system or information system. As a general rule, a program manager is a general officer or Senior Executive Service (SES); a project manager is a colonel or GS 15; a product manager is a lieutenant colonel or GS 14.

**Proponent**

The MACOM or Army staff agency responsible for developing and/or processing TAADS-R documents.

**Publish/process (PP) code**

A single-character code (alpha or numeric) used in the table of organization and equipment (TOE) work file and the TOE master file to identify the status of type TOE/automated unit reference sheet (AURS) actions.

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**Qualitative and quantitative personnel requirements information (QQPRI)**

A compilation of organizational, doctrinal, training, duty position, and personnel information prepared for new or improved materiel systems by the materiel

developer or materiel acquisition agency in coordination with the combat and training developers.

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### **Recapitulation table of organization and equipment**

A master table for a battalion or higher major organization of fixed composition (not comprised totally on cellular TOE). The recapitulation TOE includes a section I describing the overall mission, capabilities, and so forth, for the unit. It also summarizes total personnel and equipment requirements (section II) for the TOE that comprise the organization.

### **Required strength**

In a modification table of organization and equipment (MTOE), represents the full wartime requirement and corresponds to the Level 1 or type B column of the applicable TOE including all changes published in the consolidated TOE update (CTU). Manpower requirements in table of distribution and allowances (TDAs) reflect the requirements determined on the basis of missions, functions and workloads.

### **Requirements documents**

- a. Materiel requirements documents. Documents which require preparation of and are supported by a BOIP unless exempted by this regulation.
- b. TOE. A table which prescribes the wartime mission, organizational structure, and personnel and equipment requirements for a military unit. It is a model and basis for development of an authorization document.

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### **Sets, kits, and outfits (SKO)**

A collection of component items and support items designed to accomplish one general function. It is identified, cataloged, authorized and issued as a single end item. It may be made up of components and support items included in more than one class of supplies; may include separately type-classified end items; may include components and support items for which logistic responsibilities are assigned to more than one agency; and may include nonexpendable, durable, and expendable components and support items.

**Split unit**

An element of a parent unit stationed in a MACOM that differs from the main or headquarters element of the unit. Each split unit assigned to a different MACOM than the MACOM to which the split unit's parent or headquarters is assigned is required to submit TAADS-R documents.

**Staff support activity**

An organization which exists primarily to assist the headquarters to which it reports. Staff support activities assist in the formulation of policies and procedures or provide the necessary administrative and/or logistical support and would not exist in the absence of the headquarters to which it reports. (An activity is subordinate to MACOM level.)

**Staff support agency**

An agency at Headquarters, Department of the Army level which exists primarily to support and assist HQDA, and which would not exist in the absence of HQDA. A staff support agency assists in the formulation of policies and procedures or provides necessary administrative and/or logistical support for HQDA.

**Standards of grade (SG)**

The SG provides grading for representative commissioned, warrant officer, and enlisted positions classified by the identifier and provides guidance for equitable grading of all positions classified by the MOS in requirements and authorization documents. Through this guidance, positions requiring similar skills, knowledge, and abilities are graded equally and positions requiring diverse skills, knowledge, and abilities are graded differently. SG do not authorize personnel.

**Standard study number**

An 11-position alphanumeric code assigned by AMC. It indicates either a single LIN or Department of Defense Ammunition Code (DODAC) or a roll up of several LIN or DODAC that require computations on Army materiel plan and total Army equipment distribution program.

**Standardization**

The process of developing concepts, doctrines, procedures, and designs to

achieve and maintain the most effective levels of compatibility, interoperability, interchangeability, and commonality in the fields of operations, administration, and materiel. Standardization is the process by which nations achieve the closest practicable cooperation among forces, the most efficient use of research , development, and production resources, and items.

### **Structure and Composition System (SACS)**

A system which extracts data from the Force Accounting System, TAADS-R, BOIP System, and TOE System databases for the Five-Year Defense Program.

### **Systems architecture (SA)**

SA is the physical layout, depicted graphically, showing the relationship of the information exchange and connectivity requirements. The SA identifies components, capabilities, and establishes interconnections among command, control, communication, and computer (C4) components of systems. The SA can be developed for an individual system or at higher levels to depict the integration of numerous systems into a "system of systems" architecture.

### **System integrator (SI)**

The coordinator for determining requirements, assuring operational and organizational documentation, coordinating, planning, and programming fielding, and recommending resourcing priorities for designated functional areas or specific materiel systems.

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### **Table of distribution and allowances (TDA)**

An authorization document that prescribes the organizational structure and the personnel and equipment requirements and authorizations of a military unit to perform a specific mission for which there is no appropriate TOE. An augmentation TDA is an authorization document created to authorize additional personnel or equipment or both by an MTOE unit to perform an added peacetime or non-MTOE mission.

### **Table of organization and equipment (TOE)**

The TOE is a document that prescribes the wartime mission, capabilities, organizational structure, and mission essential personnel and equipment



requirements for military units. It portrays the doctrinal modernization path (MODPATH) of a unit over time from the least modernized configuration (base TOE) to the most modernized (objective TOE). (Also see base TOE, incremental change package, incremental TOE, intermediate TOE, and objective TOE)

#### **Table of organization and equipment developer**

Agency designated to develop TOEs. Includes AMEDDC&S, INSCOM, USAFISA, and USASOC.

#### **Technical architecture (TA)**

TA is comparable to a building code, not telling you what to build (operational architecture (AO)) nor how to build (system architecture (SA)), but rather delineating the standards to which build to and to pass inspection. The TA identifies a framework of standards and includes top level system specifications, and architectural diagrams for technical interface specifications.

#### **The Army Authorization Documents System (TAADS)**

An automated system that supports the development and documentation of organizational structures, and the requirements for and authorizations of personnel and equipment needed to accomplish the assigned mission of Army units and activities.

#### **Threat**

Ability of an enemy ,or potential enemy, to limit, neutralize, or destroy effectiveness of current or projected mission, organization, or item of equipment. Statement of that threat is prepared in sufficient detail to support Army planning and development of concepts, doctrine, training, and materiel. Statement of a capability prepared in necessary detail, in context of its relationship to specific program or project to provide support for Army planning and development of operational concepts, doctrine and materiel.

#### **Trainer**

The agency that trains personnel to operate and maintain development items or systems. For most equipment, this is TRADOC.

### **Training developer (TNGDEV)**

Command or agency that formulates, develops, and documents or produces training concepts, strategies, requirements (materiel and other), and programs for assigned mission areas and functions. Serves as user (trainer and trainee) representative during acquisitions of their approved training materiel requirements (MNS and ORDs) and training program developments.

### **Training development**

The conception, development, and execution of solutions to training requirements identified through the combat development process. The solutions may include new or revised training programs, material, methods, media, and system and nonsystem training devices.

### **Training device**

Items which simulate or demonstrate the function of equipment or systems, such as three-dimensional models, mockups, or exhibits. They are designed, developed, or procured solely for training support.

### **Training devices**

Training aids, devices, simulators, and simulations (TADSS) which simulate or demonstrate the function of equipment or weapon systems. These items are categorized as follows:

1. Stand-alone TADSS. An autonomous item of training equipment designed to enhance or support individual or collective training.
2. Embedded. Training that is provided by capabilities designed to be built into or added onto operational systems to enhance and maintain the skill proficiency necessary to operate and maintain that system. Embedded training capabilities encompass four training categories:
  - (1) Category A - Individual/operator. To attain and sustain individual, maintenance, and system orientation skills.
  - (2) Category B - Crew. To sustain combat ready crews/teams. This category builds on skills acquired from Category A.
  - (3) Category C - Functional. To train or sustain commander, staffs, and crews/teams within each functional area to be utilized in their

operational role.

(4) Category D - Force Level (Combined Arms Command and Battle Staff). To train or sustain combat ready commanders and battle staffs utilizing the operational system in its combat operational role.

- c. **System.** A TADSS item that supports a specific materiel system or family of systems program.
- d. **Nonsystem.** All TADSS not defined as system TADSS.
- e. **Simulators.** A training medium that replicates or represents the functions of a weapon, weapon system, or item of equipment generally supporting individual, crew, or crew subset training. Simulators may stand alone or be embedded.
- f. **Simulations.** A training medium designed to replicate or represent battlefield environments in support of command and staff training. Simulations may stand alone or be embedded.

### **Type B organization**

The type B column in TOEs provides a means for conserving U.S. military manpower. This column identifies those positions that may be filled by non-U.S. personnel in support of the Army outside the continental United States. It also identifies those positions that must be filled by U.S. military personnel and the minimum needed to provide command supervision and fill technical and maintenance positions, and equipment required to perform the stated mission of the unit when it uses available non-U.S. personnel.

### **Type classification (TC)**

Process which identifies the life-cycle status of a materiel system by assignment of TC designation. Records status of a materiel system in relation to its overall life history as a guide to procurement, authorizations, logistical support asset, and readiness reporting. Army implementation of the Office of the Secretary of Defense designation "accepted for service use."

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### **Unit reference sheet (URS)**

The URS is a document used to support concepts and doctrinal studies that provides basic organization design information such as unit structure, requirements for personnel, and major items of equipment. The URS is created

by proponent organization design personnel. It provides a description of a new unit to include the mission, assignment, capabilities, basis of allocation, mobility requirements, and category.

### **User**

TOE or TDA command, unit, element, agency, crew or person (soldier or civilian) operating, maintaining, and/or otherwise applying DTLOMS products in accomplishment of a designated mission.

### **User Representative**

Presents the user view point during DTLOMS requirements determination, documentation, and acquisition processes.

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### **Validation**

The review of documentation by an operational authority other than the user to confirm the need or operational requirement. As a minimum, the operational validation authority reviews the MNS, confirms that a nonmateriel solution is not feasible, assesses the joint service potential, and forwards a recommendation to the MDA for MS 0 action.

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### **Warfighting Requirements**

Warfighting Requirements are requirements for ACAT I-IV weapons and materiel systems, automated information systems, IT programs, special access programs, and clothing and individual equipment in direct use by or support of the Army warfighter in training for and conducting operational missions (tactical or other), or connecting that warfighter to the sustaining base.

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# Army Acquisition Task Listing Acronyms and Abbreviations

*Note: Taken largely in part from the [Army Force Management School](#)*

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**AAC:** acquisition advice code

**AAE:** Army Acquisition Executive

**AAO:** Army acquisition objective

**AASA:** Administrative Assistant to the Secretary of the Army

**ABA:** appropriation and budget activity

**ACAT:** acquisition category

**ACC:** Army component commands

**ACM:** advanced concept manager

**ACP:** Army cost position

**ACPERS:** Army Civilian Personnel System

**ACS:** asset control subsystem

**ACSIM:** Assistant Chief of Staff for Installation Management

**ACT II:** Advanced Concepts and Technology II

**ACTD:** advanced concept technology demonstration

**ADCSOPS**: Assistant Deputy Chief of Staff for Operations and Plans

**ADCSOPS-FD**: Assistant Deputy Chief of Staff for Operations and Plans-Force Development

**ADM**: acquisition decision memorandum

**ADO**: Army Digitization Office

**ADOP**: additive operational project

**ADP**: automatic data processing

**ADPE**: automatic data processing equipment

**AFARS**: Army Federal Acquisition Regulation Supplement

**AFFS**: Army field feeding system

**AFMS**: Army Force Management School

**AFPDA**: Army force planning data and assumptions

**AGR**: Active Guard Reserve

**AIS**: automated information systems

**ALO**: authorized level of organization

**AMAF**: annual MOS availability factor

**AMC**: U.S. Army Materiel Command

**AMDF**: Army Master Data File

**AMEDD**: Army Medical Department

**AMEDDC&S**: Army Medical Department Center and School

**AMHA**: Army Management Headquarters Activity

**AMIS**: Army Major Item System

**AMSAA**: Army Materiel Systems Analysis Agency

**AMSCO**: Army management structure code

**AoA**: analysis of alternatives

**AOC**: area of concentration

**AOP**: Army order of precedence

**APB**: acquisition program baseline

**APG**: Army Program Guidance

**AR**: Army regulation

**ARB**: Army Resources Board

**ARC**: accounting requirements code

**ARL**: Army Research Laboratory

**ARMYLOG**: Army Logistics Data on Compact Disk

**ARNG**: Army National Guard

**ARNG-TSP**: Army National Guard Troop Structure Program

**ARO**: Army Research Office

**ARP**: Army reserve plant

**ARSTAF**: Army Staff

**ARSTRUC**: Army structure

**AS**: acquisition strategy

**ASA(FM&C)**: Assistant Secretary of the Army (Financial Management and Comptroller)

**ASA(IL&E)**: Assistant Secretary of the Army (Installations, Logistics and Environment)

**ASA(M&RA)**: Assistant Secretary of the Army (Manpower & Reserve Affairs)

**ASA(RDA)**: Assistant Secretary of the Army (Research, Development and Acquisition)

**ASA**: Assistant Secretary of the Army

**ASARC**: Army Systems Acquisition Review Council

**ASD[C3I]**: Assistant Secretary of Defense (Command, Control, Communications, and Intelligence)

**ASE**: affordability, supportability, and executibility

**ASF**: Army Stock Fund

**ASI**: additional skill identifier

**ASIOE**: associated support items of equipment

**ASIOEP**: associated support items of equipment and personnel



**ASL**: authorized stockage list

**ASTAG**: Army Science and Technology Advisory Group

**ASTMP**: Army Science and Technology Master Plan

**ASTWG**: Army Science and Technology Working Group

**ATA**: Army Technical Architecture

**ATD**: advanced technology demonstration

**ATDP**: Army tables of organization and equipment development plan

**ATTRS**: Army Training Requirements and Resources System

**AUGTDA**: augmentation table of distribution and allowances

**AURS**: automated unit reference sheet

**AUTODIN**: automatic digital network

**AUTS**: Automatic Update Transaction System

**AWE**: Army warfighting experiment

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**BAA**: broad agency announcement

**BCE**: base-level commercial equipment

**BES**: budget estimate submission

**BLEP**: battle lab experimentation plan

**BOI**: basis-of-issue

**BOING**: basis-of-issue narrative guidance

**BOIP**: basis-of-issue plan

**BOIPFD**: basis-of-issue plan feeder data

**BPR**: business process reengineering

**BTOE**: base table of organization and equipment

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**C4I**: command, control, communications, computers, and intelligence

**CA**: commercial activities

**CAE**: Component Acquisition Executive

**CAGE**: commercial and government entity

**CAIG**: Cost Analysis Improvement Group, OSD

**CAIV**: cost as an independent variable

**CAR**: Chief, Army Reserve

**CARDS**: Catalog of approved requirements documents

**CARS**: Combat Arms Regimental System

**CASCOM**: Combined Arms Support Command

**CBE**: Command Budget Estimate

**CBRS**: Concept-Based Requirements System

**CBTDEV**: combat developer

**CCH:** Chief of Chaplains

**CDG:** competitive development group

**CDR:** commander

**CDS:** container delivery system

**CEAC:** Cost And Economic Analysis Center

**CEM:** Concepts Evaluation Model

**CENDOC:** centralized documentation

**CEP:** concept evaluation program

**CEWI:** communication-electronic warfare and intelligence

**CG:** commanding general

**CIC:** controlled item code

**CIC:** critical intelligence category

**CIE:** clothing and individual equipment

**CINC:** Commander in Chief

**CIO:** chief information officer

**CJCS:** Chairman of the Joint Chiefs of Staff

**CL:** component listing

**CM:** command manager

**CM(FS)**: command manager (force structure)

**CM(PBG)**: command manager (Program Budget Guidance)

**CMDF**: Catalog Data Master File

**CMH**: Chief of Military History

**CNGB**: Chief, National Guard Bureau

**CoC**: council of colonels

**COCO**: contractor-owned, contractor-operated

**COE**: Chief of Engineers

**COIC**: critical operational issues and criteria

**COMPO 1**: Active Army

**COMPO 2**: Army National Guard

**COMPO 3**: U.S. Army Reserve

**COMPO 4**: unresourced unit equivalent

**COMPO 6**: Army prepositioned stocks of equipment sets

**COMPO 7**: direct host nation offset

**COMPO 8**: indirect host nation offset

**COMPO 9**: logistics civil augmentation program

**COMSEC**: communications security

**CONOPS**: continuous operations

**CONUS**: continental United States

**COTS**: commercial off-the-shelf

**CPA**: Chairman's Program Assessment

**CPIPT**: cost performance integrated product team

**CPR**: Chairman's Program Recommendations

**CRB**: Cost Review Board, Army

**CRD**: capstone requirements document

**CS**: combat support

**CSA**: Chief of Staff, U.S. Army

**CSS**: combat service support

**CTA**: common table of allowances

**CTC**: combat training center

**CTU**: consolidated TOE update

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**DA**: Department of the Army

**DAB**: Defense Acquisition Board

**DAB**: Director of the Army Budget

**DALSO**: DA logistics staff officer

**DAMH**: Army Center for Military History

**DAMPL**: Department of the Army Master Priority List

**DARPA**: Defense Advanced Research Projects Agency

**DASC**: DA system coordinator

**DAU**: Defense Acquisition University

**DCD**: Directorate of Combat Developments

**DBOF**: Defense Business Operations Fund

**DCA**: Defense Communications Agency

**DCI**: Director, Central Intelligence

**DCPC**: direct combat position code

**DCS**: Defense Communications System

**DCSINT**: Deputy Chief of Staff for Intelligence

**DCSLOG**: Deputy Chief of Staff for Logistics

**DCSOPS**: Deputy Chief of Staff for Operations and Plans

**DCSPER**: Deputy Chief of Staff for Personnel

**DFARS**: Department of Defense Federal Acquisition Regulation Supplement

**DI**: Document Integrator

**DIA**: Defense Intelligence Agency

**DISA**: Defense Information Systems Agency

**DISC4**: Director of Information Systems for Command, Control, Communications, and Computers

**DL**: distance learning

**DLA**: Defense Logistics Agency

**DMR**: Defense management review

**DMS**: Document Management system

**DMWR**: depot maintenance work requirements

**DoD**: Department of Defense

**DoDD**: Department of Defense Directive

**DoDI**: Department of Defense Instruction

**DOIM**: Director of Information Management

**DPAE**: Director of Program Analysis and Evaluation

**DPG**: defense planning guidance

**DPW**: Directorate of Public Works

**DRMO**: Defense Reutilization and Marketing Office

**DS**: direct support

**DSN**: defense switched network

**DSS**: decision support system

**DSS-W**: Defense Supply Services-Washington

**DTAP**: DoD Science and Technology Plan

**DTD**: digital topographic data

**DTLOMS**: doctrine, training, leader development, organizations, materiel, and soldiers

**DTOE**: draft table of organization and equipment

**DUSA(OR)**: Deputy Undersecretary of the Army (Operations Research)

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**E<sup>3</sup>**: electromagnetic environmental effects

**EAC**: echelons above corps

**EAD**: echelons above division

**E-date**: effective date

**EE**: emergency essential

**ELSEQ**: element sequence number

**ERC**: equipment readiness code

**ERPSL**: essential repair part stockage list

**ESP**: Equipment Survey Program

**EUP**: equipment usage profile

**EW**: electronic warfare



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**FAR:** Federal Acquisition Regulation

**FASTALS:** Force Analysis Simulation of Theater Administrative and Logistics Support

**FB:** Force Builder

**FDSC:** failure definition and scoring criteria

**FDU:** force design update

**FFR:** force feasibility review

**FI:** force integrator

**FMBB:** Force Management Bulletin Board

**FMIDB:** Force Management Integrated Database

**FMTB:** U.S. Army Forces Command Mobilization Troop Base

**FMTV:** family of medium tactical vehicles

**FOA:** field operating agency

**FOC:** future operational capability

**FOIA:** Freedom of Information Act

**FORDMIS AS:** Force Development Integrated Management System Authorization Subsystem

**FORSCOM:** U.S. Army Forces Command

**FPR:** force program review

**FSCI:** force structure conference I

**FTS:** full-time support

**FUE:** first unit equipped

**FUED:** first unit equipped date

**FYDP:** Future Years Defense Program

**FYTP:** Five-Year Test Program

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**GC:** The General Counsel

**GFE:** Government furnished equipment

**GFP:** Government furnished property

**GOCO:** Government-owned, contractor operated

**GOCO:** government-owned, contractor-operated

**GOGO:** government-owned, government-operated

**GOSC:** general officer steering committee

**GOWG:** general officer working group

**GS:** general support

**GSA:** General Services Administration

**GSF:** General Support Forces

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**HEMP**: high-altitude electromagnetic pulse

**HFEA**: human factors engineering analysis

**HHA**: health hazard assessment

**HIS**: Human Systems Integration

**HMMWV**: high-mobility, multipurpose, wheeled vehicle

**HQ**: headquarters

**HQDA**: Headquarters Department of the Army

**HRI**: horizontal requirements integration

**HSI**: Human Systems Integration

**HTI**: horizontal technology integration

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**I&S**: interchangeability and substitute

**IAA**: interim authorization approval

**ICP**: incremental change package

**ICT**: integrated concept team

**ILO**: in-lieu-of

**ILS**: integrated logistic support

**ILSP**: integrated logistics support plan

**IMA** : information mission area --or-- Individual Mobilization Augmentee

**IMMP** : Information Management Master Plan

**INFOSEC** : information security

**INSCOM** : U.S. Army Intelligence and Security Command

**IOC** : initial operational capability

**IPE** : industrial plant equipment

**IPPD** : integrated product and process development

**IPL** : integrated priority list

**IPS** : illustrative planning scenario --or-- integrated program summary

**IPT** : integrated product team

**IR&D** : independent research and development

**IRR** : Individual Ready reserve

**ISEW** : intelligence, security and electronic warfare

**IT** : information technology

**ITAADS** : Installation--The Army Authorization Document System

**ITOE** : intermediate table of organization and equipment

**IWCS** : integrated wideband communications system

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**JCS** : Joint Chiefs of Staff

**JRB**: JROC Review Board

**JROC**: Joint Requirements Oversight Council

**JSOR**: Joint Service operational requirement

**JSPS**: Joint Strategic Planning System

**JTA**: joint table of allowances

**JWCA**: Joint Warfighting Capabilities Assessment

**JWE**: joint warfighting experiments --or-- joint warfighting exercise

**JWSTP**: Joint Warfighting Science And Technology Plan

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**KIA**: killed in action

**KPP**: key performance parameter

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**LAM**: Louisiana Maneuvers

**LCC**: logistic control code

**LIC**: language identifier code

**LIN**: line item number

**LOA**: letter of authority

**LOGCAP**: logistical civil augmentation program

**LOGSA**: U.S. Army Logistics Support Activity

**LOGSACS**: Logistics Structure and Composition System

**LP**: limited procurement

**LPIP**: low rate initial production

**LPT**: limited production--test

**LPU**: limited production--urgent

**LRP**: low rate production

**LSA**: logistical support analysis

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**M&S**: modeling and simulation

**MACOM**: major Army command

**MAIS**: major automated information system

**MAISRC**: Major Automated Information Systems Review Council

**MANPRINT**: manpower and personnel integration

**MAP**: Military Assistance Program

**MARC**: manpower requirements criteria

**MATDEV**: materiel developer

**MCM**: materiel change management

**MDA**: milestone decision authority

**MDAP**: major defense acquisition programs

**M-day**: mobilization-day

**MDEP**: management decision package

**MDR**: milestone decision review

**MDRP**: maintenance data review panels

**MEDCASE**: medical care support equipment

**MEDCOM**: U.S. Army Medical Command

**MEP**: mobile electric power

**MEPS**: Military Entrance Processing Stations

**MER**: manpower estimate report

**MERLIN**: MDEP Equation for Resource Linking

**MFORCE**: master force

**MHE**: materials handling equipment

**MI**: military intelligence

**MILDEP**: military deputy

**MILSTD**: military standard

**ML**: management list

**MMDB**: Manpower requirements criteria (MARC) Maintenance Data Base

**MMEWR**: minimum mission essential wartime requirements

**MNS**: mission needs statement

**MOA**: memorandum of authority

**MOBAUG**: mobilization augmentation

**MOBREM**: Mobilization Base Requirements Model

**MOBREPS**: Mobilization Base Resource Planning System

**MOBTDA**: mobilization table of distribution and allowances

**MOC**: management of change

**MOCS**: Military Occupational Classification and Structure

**MODTAADS**: Mobilization--The Army Authorization Document System

**MOE**: measures of effectiveness

**MOP**: memorandum of policy

**MOS**: military occupational specialty

**MP**: mission profile

**MPA**: Military Personnel, Army

**MPT**: manpower, personnel, training

**MR**: memorandum request

**MRD**: MARC review document --or-- materiel requirements document

**MS**: Milestone



**MS3**: manpower staffing standards system

**MSC**: major subordinate command

**MSE**: mobile subscriber equipment

**MTBSP**: Mobilization Troop Basis Stationing Plan

**MTMC**: Military Traffic Management Command

**MTOE**: modification table of organization and equipment

**MTW**: major theater war

**MWR**: morale, welfare, and recreation

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**NATO**: North Atlantic Treaty Organization

**NBC**: nuclear, biological, chemical

**NBDI**: nonbattle death and injury

**NCA**: national command authority

**NCR**: National Capital Region

**NCSC**: Nuclear and Chemical Survivability Committee

**NCSCS**: Nuclear and Chemical Survivability Committee Secretariat

**NDI**: nondevelopmental item

**NET**: new equipment training

**NETP**: new equipment training plan

**NGB**: National Guard Bureau

**NLT**: not later than

**NMS**: national military strategy

**NOFC**: notification of future change

**NSA**: National Security Agency

**NSLIN**: nonstandard line item number

**NSN**: national stock number

**NSTD**: nonsystem training devices

**NTV**: nontactical vehicle

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**O&S**: operational and support

**OA**: operating agency --or-- operational architecture

**OACISM**: Office of the Assistant Chief of Staff for Information Management

**OCAR**: Office of the Chief of Army Reserve

**OCONUS**: outside continental United States

**ODCSOPS**: Office of the Deputy Chief of Staff for Operations and Plans

**ODCSPER**: Office of the Deputy Chief of Staff for Personnel

**OI**: organization integrator

**OIPT**: overarching integrated product team

**OMA** : Operation and Maintenance, Army

**OMB** : Office of Management and Budget

**OMS** : operational mode summary

**ONS** : operational needs statement

**OPA** : Other Procurement, Army

**OPE** : other plant equipment

**OPFAC** : operational facility

**OPM** : Office of Personnel Management

**OPMCS** : Office of Personnel Management classification series

**OPTEC** : U.S. Army Operational Test and Evaluation Command

**OR** : operationally ready

**ORD** : operational requirements document

**ORF** : operational readiness float

**ORS** : operational requirement statement

**OSD** : Office of the Secretary of Defense

**OTOE** : objective table of organization and equipment

**OTSG** : Office of The Surgeon General

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**P3I** : preplanned product improvement

**PA&E:** Program Analysis and Evaluation

**PA:** procurement appropriations

**PAL:** permissive action link

**PAM:** personnel authorization model

**PBD:** program/budget decision

**PBG:** Program Budget Guidance

**PC:** personal computer

**PDM:** Program Decision Memorandum

**PEO:** program executive officer

**PEP:** plant equipment package

**PERSACS:** Personnel structure and composition system

**PERSCOM:** U.S. Total Army Personnel Command

**PERSSO:** Personnel Systems Staff Officer

**PI:** product improvement

**PLL:** prescribed load list

**PLS:** palletized loading system

**PM:** project manager --or-- program manager --or-- product manager

**PMAD:** personnel management authorization document

**POC** : point of contact

**POL** : petroleum, oils, and lubricants

**POM** : program objective memorandum

**POSC** : personnel occupational specialty code

**PP** : publish/process code

**PPBES** : planning, programming, budgeting, and execution system

**PPBS** : planning, programming, and budgeting system

**PPBS** : planning, programming, and budgeting system

**PREPO** : prepositioned materiel

**PROBE** : Program Optimization and Budget Evaluation

**PROFIS** : professional officer filler system

**PSA** : principal staff assistant

**PW** : prisoner of war

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**QCR** : qualitative construction requirements

**QQPRI** : qualitative and quantitative personnel requirements information

**QRC** : quick reaction capability

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**R&D** : research and development

**R&M**: reliability and maintainability

**RC**: Reserve Component

**RCF**: repair cycle float

**RCTB**: Reserve Components Troop Basis

**RDA**: research, development, and acquisition

**RDE**: research, development and engineering

**RDEC**: research, development and engineering center

**RDS**: Requirements Documentation System

**RDTE**: research, development, test, and evaluation

**REPCO**: report code

**REQVAL**: requisition validation

**RFP**: request for proposal

**RI**: resource integrator

**RMU**: Resource Management Update

**ROC**: required operational capability --or-- resource operating code

**ROTC**: Reserve Officers' Training Corps

**RPMP**: Real Property Master Plan

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**S&I**: standardization and interoperability

**S&T**: science and technology

**SA**: Secretary of the Army --or-- systems architecture

**SACS**: structure and composition system

**SAE**: Service Acquisition Executive

**SAG**: study advisory group

**SAMAS**: Structure and Manpower Allocation System

**SAO**: security assistance organization

**SB**: supply bulletin

**SC**: supply catalog

**SCU**: special ceremonial units

**SECDEF**: Secretary of Defense

**SES**: Senior Executive Service

**SG**: standards of grade

**SHG**: selected honor guard

**SI**: system integrator/skill identifier

**SIDPERS**: Standard Installation/Division Personnel System

**SIGINT**: signal intelligence

**SKO**: sets, kits, and outfits

**SLEP**: service life extension program

**SLIN**: standard line item number

**SMEP**: subject matter expert panel

**SMMP**: system MANPRINT management plan

**SORTS**: Status of Resources and Training System

**SOS**: source of supply

**SOW**: statement of work

**SOW**: statement of work

**SPBS**: Standard Property Book System

**SQL**: special qualification identifier

**SRC**: standard requirements code

**SSA**: system safety assessment

**SSN**: standard study number

**SSv**: soldier survivability

**STA**: system threat assessment

**STAR**: system threat assessment report

**STD**: standard --or-- system training device

**STO**: science and technology objectives



**STRAP**: system training plan

**SWCC**: standard work center code

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**T&E**: test and evaluation

**TAA**: total Army analysis

**TAADS**: The Army Authorization Document System

**TAADS-R**: The Army Authorization Document System-Redesign

**TADSS**: training aids, devices, simulations, and simulators

**TAEDP**: the Army equipment distribution program

**TAG**: Troop Action Guidance

**TAMS**: Training Ammunition Management System

**TAP**: The Army Plan

**TAV**: Total Asset Visibility

**TC**: type classification

**TCE**: type classification exemption

**TD**: technology demonstration

**TDA**: table of distribution and allowances

**TDR**: training device requirements

**TEMP**: test and evaluation master plan

**TISO**: threat integration staff officer

**TJAG**: The Judge Advocate General

**TM**: technical manual

**TMA**: training mission area

**TMD**: theater missile defense

**TMDE**: test, measurement, and diagnostic equipment

**TMP**: transportation motor pool

**TNGDEV**: training developer

**TOE**: table of organization and equipment

**TPF**: total package fielding

**TPG**: Troop Program Guidance

**TPSN**: troop program sequence number

**TRADOC**: U.S. Army Training and Doctrine Command

**TRANSMO**: Transportation Model

**TSG**: The Surgeon General

**TSM**: TRADOC systems manager

**TSP**: threat support plan --or-- Troop Structure Program

**TSR**: training support requirements

**TTHS**: trainees, transients, holdees, and students

**TTOE**: tentative table of organization and equipment

**TTSP**: threat test support packages

**TWV**: tactical wheeled vehicle

**TWVRMO**: Tactical Wheeled Vehicle Requirements Management Office

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**UIC**: unit identification code

**UICIO**: unit identification code information officer

**UPS**: uninterruptable power supply

**URS**: unit reference sheet

**USACAA**: U.S. Army Concepts Analysis Agency

**USACFSC**: U.S. Army Community and Family Support Center

**USACTA**: U.S. Army Central TMDE Activity

**USAFMSA**: U.S. Army Force Management Support Agency

**USAISC**: U.S. Army Information Systems Command

**USAISC-P**: U.S. Army Information Systems Command-Pentagon

**USAMMA**: U.S. Army Medical Materiel Agency

**USAMRMC**: U.S. Army Medical Research and Materiel Command

**USANCA**: U.S. Army Nuclear and Chemical Agency

**USAPPC**: U.S. Army Publications and Printing Command

**USAR**: U.S. Army Reserve

**USARC**: U.S. Army Reserve Command

**USAREUR**: U.S. Army, Europe

**USARJ**: U.S. Army, Japan

**USARPAC**: U.S. Army Pacific

**USASMDC**: U.S. Army Space and Missile Defense Command

**USASOC**: U.S. Army Special Operations Command

**USD(A&T)**: Under Secretary of Defense (Acquisition and Technology)

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**VCSA**: Vice Chief of Staff of the Army

**VI**: visual information

**VTADS**: Vertical-- The Army Authorization document System

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**WARF**: wartime active replacement factors

**WIA**: wounded in action

**WIPT**: working integrated products team

**WRAP**: Warfighting Rapid Acquisition Program

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**ZLIN:** Z (developmental) line item number